

ANNUAL STATEMENT

FOR THE YEAR ENDING DECEMBER 31, 2013

OF THE CONDITION AND AFFAIRS OF THE

Neighborhood Health Plan of Rhode Island NAIC Group Code 0000 05-0477052 95402 NAIC Company Code _ Employer's ID Number Organized under the Laws of Rhode Island , State of Domicile or Port of Entry _ Rhode Island Country of Domicile **United States** Licensed as business type: Life, Accident & Health [] Property/Casualty [] Hospital, Medical & Dental Service or Indemnity [] Dental Service Corporation [] Vision Service Corporation [] Health Maintenance Organization [X] Is HMO, Federally Qualified? Yes [] No [X] Other [] Incorporated/Organized 12/09/1993 12/01/1994 Commenced Business Statutory Home Office 299 Promenade Street Providence, RI, US 02908 (City or Town, State, Country and Zip Code) (Street and Number) Main Administrative Office 299 Promenade Street (Street and Number) Providence, RI, US 02908 401-459-6000 (Area Code) (Telephone Number) Mail Address Providence, RI, US 02908 299 Promenade Street (City or Town, State, Country and Zip Code) Primary Location of Books and Records 299 Promenade Street (Street and Number) Providence, RI, US 02908 (City or Town, State, Country and Zip Code) 401-459-6124 (Area Code) (Telephone Number) (Extension) Internet Web Site Address http://www.nhpri.org/ 401-459-6124 Statutory Statement Contact Glenn Wang gwang@nhpri.org (Area Code) (Telephone Number) (Extension) (Name) 401-459-6043 (Fax Number) **OFFICERS** Title James Hooley Chief Executive Officer Thomas Clark Phillip Jr. CPA Chief Financial Officer Francisco Trilla MD # Chief Medical Officer Shantha Diaz Chief Operating Officer OTHER OFFICERS Merrill Thomas Jane Hayward Chairman Vice Chairman Brenda Dowlatshahi Secretary Peter Walsh Treasurer **DIRECTORS OR TRUSTEES** Merrill Thomas Brenda Dowlatshahi James Hooley Raymond Joseph Lavoie Jr Jane Hayward Darrell A. Lee Christopher Little Esq. Pablo Rodriguez MD Peter Bancroft CPA Doris De Los Santos Peter Walsh Charles Jones William Hochstrasser-Walsh Dennis Roy Michael Lichtenstein Patricia Martinez Richard Besdine MD # State ofRhode Island. County of .. The officers of this reporting entity, being duly sworn, each depose and say that they are the described officers of said reporting entity, and that on the reporting period stated above, all of the herein described assets were the absolute property of the said reporting entity, free and clear from any liens or claims thereon, except as herein stated, and that this statement, together with related exhibits, schedules and explanations therein contained, annexed or referred to, is a full and true statement of all the assets and liabilities and of the condition and affairs of the said reporting entity as of the reporting period stated above, and of its income and deductions therefrom for the period ended, and have been completed in accordance with the NAIC Annual Statement Instructions and Accounting Practices and Procedures manual except to the extent that: (1) state law may differ; or, (2) that state rules or regulations require differences in reporting not related to accounting practices and procedures, according to the best of their information, knowledge and belief, respectively. Furthermore, the scope of this attestation by the described officers also includes the related corresponding electronic filing with the NAIC. when required, that is an exact copy (except for formatting differences due to electronic filing) of the enclosed statement. The electronic filing may be requested by various regulators in lieu of or in addition to the enclosed statement. Douglas Thompson James Hooley Francisco Trilla MD Chief Executive Officer Chief Financial Officer Chief Medical Officer a. Is this an original filing? Yes [X] No []

Subscribed and sworn to before me this

Michelle Tetreault.

day of Feburary, 2014

b. If no:

2. Date filed

1. State the amendment number

3. Number of pages attached

SUMMARY INVESTMENT SCHEDULE

		Gross Inves Holding		Admitted Assets as Reported in the Annual Statement					
		1	2	3	4	5	6		
	Investment Categories	Amount	Percentage	Amount	Securities Lending Reinvested Collateral Amount	Total (Col. 3+4) Amount	Percentage		
1.	Bonds:								
	1.1 U.S. treasury securities	22,280,521	17 .870	22,280,521		22,280,521	17 .870		
	1.2 U.S. government agency obligations (excluding mortgage-backed securities):								
	1.21 Issued by U.S. government agencies	3.710.423	2.976	3,710,423		3.710.423	2.976		
	1.22 Issued by U.S. government sponsored agencies		1.643	2,048,724		2,048,724			
	1.3 Non-U.S. government (including Canada, excluding mortgage-		0.000				0.000		
	backed securities)		0.000			0	0.000		
	political subdivisions in the U.S.:	F04 000	0.400	504 000		501,926	0.400		
	1.41 States, territories and possessions general obligations 1.42 Political subdivisions of states, territories and possessions and political subdivisions general obligations			501,926		250,000			
	1.43 Revenue and assessment obligations		i	i		627,064	1		
	1.44 Industrial development and similar obligations		0.000				0.000		
	1.5 Mortgage-backed securities (includes residential and								
	commercial MBS):								
	1.51 Pass-through securities:		0.000			^	0.000		
	1.511 Issued or guaranteed by GNMA			2,915,588		0 2,915,588			
	1.512 issued or guaranteed by FINNA and FHLING		1.903	2,372,780					
	1.52 CMOs and REMICs:			2,0,2,700					
	1.521 Issued or guaranteed by GNMA, FNMA, FHLMC or								
	VA	639,794	0.513	639,794		639,794	0.513		
	1.522 Issued by non-U.S. Government issuers and collateralized by mortgage-backed securities issued or								
	guaranteed by agencies shown in Line 1.521			4 000 004					
,	1.523 All other Other debt and other fixed income securities (excluding short	1,009,334	0.810	1,009,334		1,009,334	0.810		
^{2.}	term):								
	2.1 Unaffiliated domestic securities (includes credit tenant loans	40,000,050	0.004	40,000,050		40,000,050	0.004		
	and hybrid securities)		8.094 0.609	i		10,092,258			
			0.000			0			
3.	Equity interests:								
	3.1 Investments in mutual funds		0.000			0	0.000		
	3.2 Preferred stocks:								
	3.21 Affiliated		0.000			i	1		
			0.000			0	0.000		
	3.3 Publicly traded equity securities (excluding preferred stocks): 3.31 Affiliated		0.000			0	0.000		
	3.32 Unaffiliated		0.000			0	0.000		
	3.4 Other equity securities:		0.000				0.000		
	3.41 Affiliated		0.000			0	0.000		
	3.5 Other equity interests including tangible personal property					0	0.000		
	under lease: 3.51 Affiliated		0.000			n	0.000		
			0.000			0	0.000		
4.	Mortgage loans:								
	4.1 Construction and land development		i .			0	0.00		
	4.2 Agricultural					0	0.00		
	4.3 Single family residential properties					_	0.00		
	4.4 Multifamily residential properties		1				0.000		
	4.5 Commercial loans		0.000						
5	4.6 Mezzanine real estate loans					,0 	0.000		
J.	5.1 Property occupied by company		0.000	0		0	0.000		
	5.2 Property held for production of income (including								
	\$of property acquired in satisfaction								
	of debt)		0.00	0		0	0.00		
	5.3 Property held for sale (including \$					-			
_	property acquired in satisfaction of debt)		i	0			0.000		
	Contract loans Derivatives		0.000	0		0	0.000		
	Receivables for securities		0.000	0		0	0.000		
l			0.000	0	XXX	XXX	XXX		
1	Cash, cash equivalents and short-term investments		62 . 138	77,475,395		77 ,475 ,395	62 . 138		
	Other invested assets		0.000			0	0.000		
12.	Total invested assets	124,682,612	100.000	124,682,609	0	124,682,609	100.000		

SCHEDULE A – VERIFICATION BETWEEN YEARS

Real Estate

1.	Book/adjusted carrying value, December 31 of prior year	0
2.	Cost of acquired:	
	2.1 Actual cost at time of acquisition (Part 2, Column 6)	
	2.2 Additional investment made after acquisition (Part 2, Column 9)	0
3.	Current year change in encumbrances:	
	3.1 Totals, Part 1, Column 13	
	3.2 Totals, Part 3, Column 11	0
4.	Total gain (loss) on disposals, Part 3, Column 18 Deduct amounts received on disposals, Part 3, Column 15	0
5.	Deduct amounts received on disposals, Part 3, Column 15	0
6.	Total foreign exchange change in book/adjusted carrying value.	
	6.1 Totals, Part 1, Column 15	
	6.2 Totals, Part 3, Column 13	0
7.	Deduct current year's other-than-temporary impairment recognized:	
	7.1 Totals, Part 1, Column 12	
	7.2 Totals, Part 3, Column 10	0
8.	Deduct current year's depreciation:	
	8.1 Totals, Part 1, Column 11	
	8.2 Totals, Part 3, Column 9	0
9.	Book/adjusted carrying value at the end of current period (Lines 1+2+3+4-5+6-7-8)	
10.	Deduct total nonadmitted amounts	
11	Statement value at end of current period (Line 9 minus Line 10)	0

SCHEDULE B - VERIFICATION BETWEEN YEARS

Mortgage Loans

	Book value/recorded investment excluding accrued interest, December 31 of prior year.	0
۷.	Cost of acquired:	
	2.1 Actual cost at time of acquisition (Part 2, Column 7)	0
_	2.2 Additional investment made after acquisition (Part 2, Column 8)	0
3.	Capitalized deferred interest and other:	
	3.1 Totals, Part 1, Column 12	_
	3.2 Totals, Part 3, Column 11	0
4.	Accrual of discount.	
5.	Unrealized valuation increase (decrease):	
	5.1 Totals, Part 1, Column 9	
	5.2 Totals, Part 3, Column 8	0
6.	5.1 Totals, Part 1, Column 9	0
7.	Deduct amounts received on disposals, Part 3, Column 15	0
8.	Deduct amortization of premium and mortgage interest points and commitment fees	
9.	Total foreign exchange change in book value/recorded investment excluding accrued interest:	
	9.1 Totals, Part 1, Column 13	
	9.2 Totals, Part 3, Column 13	0
10.	Deduct current year's other-than-temporary impairment recognized:	
	10.1 Totals, Part 1, Column 110	
	10.2 Totals, Part 3, Column 100	0
11.	Book value/recorded investment excluding accrued interest at end of current period (Lines 1+2+3+4+5+6-7-8+9-10).	0
	Total valuation allowance.	
13.	Subtotal (Line 11 plus Line 12).	0
	Deduct total nonadmitted amounts	
15.	Statement value of mortgages owned at end of current period (Line 13 minus Line 14)	0

SCHEDULE BA – VERIFICATION BETWEEN YEARS

Other Long-Term Invested Assets

1.	Book/adjusted carrying value, December 31 of prior year	0
2.	Cost of acquired:	
	2.1 Actual cost at time of acquisition (Part 2, Column 8)	
	2.2 Additional investment made after acquisition (Part 2, Column 9)	0
3.	Capitalized deferred interest and other:	
	3.1 Totals, Part 1, Column 16	
	3.2 Totals, Part 3, Column 120	0
4.	Accrual of discount	
5.	Unrealized valuation increase (decrease):	
	5.1 Totals, Part 1, Column 130	
	5.2 Totals, Part 3, Column 9	0
6.		0
7.	Deduct amounts received on disposals, Part 3, Column 16.	0
8.	Deduct amortization of premium and depreciation.	
9.	Total foreign exchange change in book/adjusted carrying value:	
	9.1 Totals, Part 1, Column 17	
	9.2 Totals, Part 3, Column 14	0
10.		
	10.1 Totals, Part 1, Column 150	
	10.2 Totals, Part 3, Column 11	0
11.	Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5+6-7-8+9-10)	0
12.	Deduct total nonadmitted amounts.	
13.	Statement value at end of current period (Line 11 minus Line 12)	0

SCHEDULE D – VERIFICATION BETWEEN YEARS

Bonds and Stocks

1	Book/adjusted carrying value, December 31 of prior year	44 927 470
2.	Cost of bonds and stocks acquired, Part 3, Column 7.	23 472 315
3.	Accrual of discount.	40,004
٥.		10,924
4.	Unrealized valuation increase (decrease):	
	4.1 Part 1, Column 12	
	4.2 Part 2, Section 1, Column 15	
	4.3 Part 2. Section 2. Column 13	
	4.4 Part 4, Column 11	52,751
5.	Total gain (loss) on disposals, Part 4, Column 19.	25,523
6.	Deduction consideration for bonds and stocks disposed of, Part 4, Column 7	20,765,872
7.	Deduct amortization of premium	515,898
8.	Total foreign exchange change in book/adjusted carrying value:	
	8.1 Part 1. Column 15	
	8.2 Part 2, Section 1, Column 19	
	8.3 Part 2. Section 2. Column 16	
	8.3 Part 2, Section 2, Column 16	0
9.	Deduct current year's other-than-temporary impairment recognized:	
	9.1 Part 1, Column 14	
	9.2 Part 2. Section 1. Column 17	
	9.3 Part 2, Section 2, Column 14	
	9.4 Part 4, Column 13	0
10.	Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	47 , 207 , 214
11.	Deduct total nonadmitted amounts	
12.	Statement value at end of current period (Line 10 minus Line 11).	47 , 207 , 214

SCHEDULE D - SUMMARY BY COUNTRY

	Lo	ng-Term Bonds and Stocks	OWNED December 31 o	of Current Year		
			1	2	3	4
Description			Book/Adjusted Carrying Value	Fair Value	Actual Cost	Par Value of Bonds
BONDS	BONDS 1. United States		25,990,944	25,180,720	26,079,856	25,053,652
Governments	2.	Canada				
(Including all obligations guaranteed	3.	Other Countries				
by governments)	4.	Totals	25,990,944	25,180,720	26,079,856	25,053,652
U.S. States, Territories and Possessions						
(Direct and guaranteed)	5.	Totals	501,926	517,825	502,448	500,000
U.S. Political Subdivisions of States, Territories						
and Possessions (Direct and guaranteed)	6.	Totals	250,000	261,400	250,000	250,000
U.S. Special revenue and special assessment						
obligations and all non-guaranteed						
obligations of agencies and authorities of						
governments and their political subdivisions	7.	Totals	6,231,170	6,201,752	6,269,348	6,019,625
	8.	United States	13,310,802	13,329,699	13,532,532	12,621,030
Industrial and Miscellaneous and	9.	Canada				
Hybrid Securities (unaffiliated)	10.	Other Countries	922,371	932,671	930,400	889,000
	11.	Totals	14,233,173	14,262,370	14,462,931	13,510,030
Parent, Subsidiaries and Affiliates	12.	Totals	0	0	0	0
	13.	Total Bonds	47,207,214	46,424,067	47,564,582	45,333,307
PREFERRED STOCKS	14.	United States				
Industrial and Miscellaneous (unaffiliated)	15.	Canada				
	16.	Other Countries				
	17.	Totals	0	0	0	
Parent, Subsidiaries and Affiliates	18.	Totals	0	0	0	
	19.	Total Preferred Stocks	0	0	0	
COMMON STOCKS	20.	United States				
Industrial and Miscellaneous (unaffiliated)	21.	Canada				
	22.	Other Countries				
	23.	Totals	0	0	0	
Parent, Subsidiaries and Affiliates	24.	Totals	0	0	0	
	25.	Total Common Stocks	0	0	0	
	26.	Total Stocks	0	0	0	
	27.	Total Bonds and Stocks	47,207,214	46,424,067	47,564,582	

SCHEDULE D - PART 1A - SECTION 1

Quality and Maturi	ty Distribution of All Bonds Owned December 31	at Book/Adjusted Carrying Values by Maid	or Types of Issues and NAIC Designations

		Quality and Matur	rity Distribution of All Bon	ds Owned December 3	1, at Book/Adjusted Ca		Types of Issues and NA	AIC Designations			
NAIC Designation	1 1 Year or Less	2 Over 1 Year Through 5 Years	3 Over 5 Years Through 10 Years	4 Over 10 Years Through 20 Years	5 Over 20 Years	6 Total Current Year	7 Col. 6 as a % of Line 9.7	8 Total from Col. 6 Prior Year	9 % From Col. 7 Prior Year	10 Total Publicly Traded	11 Total Privately Placed (a)
1. U.S. Governments	1 Tour or Loss	1 cars	10 10013	Through 20 Tears	Over 20 Tears	Total Gallent Teal	70 OI LINC 3.7	T Hot Teal	T Hot Teal	Huded	(α)
1.1 NAIC 1	43,409,028	15,763,985	8.797.796	1, 190, 847		69 , 161 , 657	74.5	102,520,965	81.8	69, 161, 657	
1.2 NAIC 2	10, 100, 020					0	0.0	0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0		
1.3 NAIC 3						0	0.0	0	0.0		
1.4 NAIC 4						0	0.0	0	0.0		
1.5 NAIC 5						0	0.0	0	0.0		
1.6 NAIC 6						0	0.0	0	0.0		
1.7 Totals	43,409,028	15,763,985	8,797,796	1,190,847	0	69,161,657	74.5	102,520,965	81.8	69,161,657	0
2. All Other Governments	10,100,020	10,700,000	0,101,100	1,100,011		00,101,001	71.0	102,020,000	01.0	00,101,001	
2.1 NAIC 1						٥	0.0	٥١	0.0		
2.2 NAIC 2						0	0.0	0	0.0		
2.3 NAIC 3						n l	0.0	0	0.0		
2.4 NAIC 4						0	0.0	0	0.0		
2.5 NAIC 5						0	0.0	0	0.0		
2.6 NAIC 6						0	0.0	0	0.0		
2.7 Totals	0	0	0	0	0	0	0.0	0	0.0		0
U.S. States, Territories and Pos		0	0	0	0	0	0.0	0	0.0	0	U
3.1 NAIC 1	250,000		251,926			501,926	0.5	502 , 121	0.4	501,926	
3.2 NAIC 2	250,000		201,920				0.0		0.0		
3.3 NAIC 3						 ۱	0.0		0.0		
3.4 NAIC 4						 Λ	0.0	ν	0.0	 	
3.5 NAIC 5						 Λ	0.0	ν	0.0		
3.6 NAIC 6						 Λ	0.0		0.0		
3.7 Totals	250,000	0	251,926	0	0	501,926	0.0	502,121	0.4		0
			231,920	U	U	301,920	0.0	302,121	0.4	301,920	U
4. U.S. Political Subdivisions of St	ates, Territories and Posses					050 000	0.0	050 000	0.0	050,000	
4.1 NAIC 1		250,000				250,000	0.3	250,000	0.2	250,000	
4.2 NAIC 2						L	0.0	U	0.0		
4.3 NAIC 3						LU	0.0	U	0.0		
4.4 NAIC 4 4.5 NAIC 5						U	0.0	U	0.0		
									0.0		
4.6 NAIC 6		050 000				0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0	0.0	0 0 000	0.0		
4.7 Totals	0	250,000	0	0	0	250,000	0.3	250,000	0.2	250,000	0
5. U.S. Special Revenue & Special			4 400	202				7 040			
5.1 NAIC 1	2,672,582	4,083,725	1,138,278	290,076	18,089	8,202,750	8.8	7,019,830	5.6	8,202,750	
5.2 NAIC 2						ا ۵ ا	0.0	J0	0.0		
5.3 NAIC 3						<u>0</u>	0.0	ļ0	0.0		-
5.4 NAIC 4						ļ0	0.0	J0	0.0		-
5.5 NAIC 5						<u>0</u>	0.0	J0	0.0		
5.6 NAIC 6						0	0.0	0	0.0		
5.7 Totals	2,672,582	4,083,725	1,138,278	290,076	18,089	8,202,750	8.8	7,019,830	5.6	8,202,750	1 0

SCHEDULE D - PART 1A - SECTION 1 (Continued) Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations

	1	2	turity distribution of Ali B	4	5	6	7	8	9	10	11
		Over 1 Year Through 5	Over 5 Years Through	Over 10 Years			Col. 6 as a	Total from Col. 6	% From Col. 7	Total Publicly	Total Privately Placed
NAIC Designation	1 Year or Less	Years	10 Years	Through 20 Years	Over 20 Years	Total Current Year	% of Line 9.7	Prior Year	Prior Year	Traded	(a) [*]
6. Industrial and Miscellaneous (unaffilia											
6.1 NAIC 1	2,013,700	7 ,772 ,276	4,612,186			14,398,162	15.5	14,808,450	11.8	14,398,162	
6.2 NAIC 2		131,784	249,346			381,129	0.4	249,261	0.2	381,129	
6.3 NAIC 3						0	0.0	0	0.0		
6.4 NAIC 4						0	0.0	0	0.0		
6.5 NAIC 5						0	0.0	0	0.0 .		
6.6 NAIC 6						0	0.0	0	0.0		
6.7 Totals	2,013,700	7,904,060	4,861,532	0	0	14,779,292	15.9	15,057,711	12.0	14,779,292	0
7. Hybrid Securities											
7.1 NAIC 1						0	0.0	0	0.0 .		
7.2 NAIC 2						0	0.0	0	0.0		
7.3 NAIC 3						0	0.0	0	0.0		
7.4 NAIC 4						0	0.0	0	0.0 .		
7.5 NAIC 5						0	0.0	0	0.0 .		
7.6 NAIC 6						0	0.0	0	0.0		
7.7 Totals	0	0	0	0	0	0	0.0	0	0.0	0	0
8. Parent, Subsidiaries and Affiliates	S										
8.1 NAIC 1						0	0.0	0	0.0		
8.2 NAIC 2	<u> </u>					0	0.0	0	0.0		
8.3 NAIC 3						0	0.0	0	0.0		
8.4 NAIC 4						0	0.0	0	0.0 .		
8.5 NAIC 5						0	0.0	0	0.0		
8.6 NAIC 6						0	0.0	0	0.0		
8.7 Totals	0	0	0	0	0	0	0.0	0	0.0	0	0

SCHEDULE D - PART 1A - SECTION 1 (Continued)

Quality and Maturity Distribution of All Bonds Owned December 31, at Book/Adjusted Carrying Values by Major Types of Issues and NAIC Designations											
NAIC Designation	1 1 Year or Less	2 Over 1 Year Through 5 Years	3 Over 5 Years Through 10 Years	4 Over 10 Years Through 20 Years	5 Over 20 Vears	6 Total Current Year	7 Col. 6 as a % of Line 9.7	8 Total from Col. 6 Prior Year	9 % From Col. 7 Prior Year	10 Total Publicly Traded	11 Total Privately Placed (a)
Total Bonds Current Year	1 Teal Of Less	J Teals	10 16415	Tillough 20 Teals	Over 20 Tears	Total Current Teal	/0 OI LINE 9.7	FIIOI I Cai	FIIOI Teal	Haueu	(a)
9.1 NAIC 1	(d)48.345.310	27,869,986	14,800,187	1,480,923	18.089	92.514.496	99.6	XXX	XXX	92,514,496	0
9.2 NAIC 2	(d) 0,040,010	131.784	249.346		10,000		0.4	XXX	XXX	381.129	0
9.3 NAIC 3	(q) U	101,704	243,340 N	 	h	0	0.0	XXX	XXX		0
9.4 NAIC 4	(d) 0	0	0	Q	0	0	0.0	XXX	XXX	0	0
9.5 NAIC 5	(d) 0	n n	0	0	0 (c) 0	0.0	XXX	XXX	0	0
9.6 NAIC 6	(d) 0	ĺ 0	0	0	0 (c) 0	0.0	XXX	XXX	0	0
9.7 Totals	48,345,310	28,001,770	15,049,532	1.480.923	18,089	92,895,625	100.0	XXX	XXX	92,895,625	0
9.8 Line 9.7 as a % of Col. 6	52.0	30.1	16.2	1.6	0.0	100.0	XXX	XXX	XXX	100.0	0.0
10. Total Bonds Prior Year	02.0	00.1	10.2	1.0	0.0	100.0	AAA	AAA	AAA	100.0	0.0
10.1 NAIC 1	32,638,475	23,890,515	14,654,195	0	53,918,181	XXX	XXX	125 , 101 , 365	99.8	125 , 101 , 365	0
10.1 NAIC 1	n		249,261	ν Ω	So, 510, 101 [XXX	XXX	249,261	0.2	249,261	n
10.3 NAIC 3	0	1	0	 0	0	XXX	XXX	1	0.0	2-13,201	0
10.4 NAIC 4	0	0	0	0	0	XXX	XXX	0	0.0	0	0
10.5 NAIC 5	0	0	0	0	0	XXX	ХХХ	(c) 0	0.0	0	0
10.6 NAIC 6	0	0	0	0	0	XXX	XXX	(c) 0	0.0	0	0
10.7 Totals	32,638,475	23,890,515	14,903,456	0	53,918,181	XXX	XXX	(b) 125,350,626	100.0	125,350,626	0
10.8 Line 10.7 as a % of Col. 8	26.0	19.1	11.9	0.0	43.0	XXX	XXX	100.0	XXX	100.0	0.0
11. Total Publicly Traded Bonds											
11.1 NAIC 1	48,345,310	27,869,986	14,800,187	1,480,923	18,089	92 , 514 , 496	99.6	125 , 101 , 365	99.8	92,514,496	XXX
11.2 NAIC 2		131,784	249,346		, , , , , , , , , , , , , , , , , , , ,	381,129	0.4	249,261	0.2		XXX
11.3 NAIC 3						0	0.0	0	0.0	0	XXX
11.4 NAIC 4						0	0.0	0	0.0	0	XXX
11.5 NAIC 5						0	0.0	<u> </u> 0	0.0	0	XXX
11.6 NAIC 6						0	0.0	0	0.0	0	XXX
11.7 Totals	48,345,310	28,001,770	15,049,532	1,480,923	18,089	92,895,625	100.0	125,350,626	100.0	92,895,625	XXX
11.8 Line 11.7 as a % of Col. 6	52.0	30 . 1	16.2	1.6	0.0	100.0	ХХХ	XXX	XXX	100.0	XXX
11.9 Line 11.7 as a % of Line 9.7, Col.								l i			
6, Section 9	52.0	30.1	16.2	1.6	0.0	100.0	XXX	XXX	XXX	100.0	XXX
12. Total Privately Placed Bonds											
12.1 NAIC 1						0	0.0	0	0.0	ХХХ	.0
12.2 NAIC 2						0	0.0	<u> </u> 0	0.0	XXX	0
12.3 NAIC 3						0	0.0	J0	0.0	XXX	0
12.4 NAIC 4			L			0	0.0	J0	0.0	XXX	0
12.5 NAIC 5					ļ	0	0.0	J0	0.0	XXX	0
12.6 NAIC 6						0	0.0	0	0.0	XXX	0
12.7 Totals	0	0	0	0	0	0	0.0	0	0.0	XXX	0
12.8 Line 12.7 as a % of Col. 6	0.0	0.0	0.0	0.0	0.0	0.0	ХХХ	XXX	XXX	XXX	0.0
12.9 Line 12.7 as a % of Line 9.7, Col. 6. Section 9	0.0	0.0	0.0	0.0	0.0	0.0	XXX	l xxx	XXX	XXX	0.0
	***	0.0	r resale under SEC Rule		0.01	0.0	, , , , , , , , , , , , , , , , , , ,	7077	7///	AWA	1 0.0

(a) molades (ileely tradable d	inder obortale 144 or qualified for resale under obortale 144A.		
(b) Includes 3	current year, \$	prior year of bonds with Z designations and \$	current year, \$	prior year of bonds with Z* designations. The letter "Z" means the NAIC designation was not assigned by the
Securities	s Valuation Office (SVO) at the date of the	statement. "Z*" means the SVO could not evaluate the obligation because val	luation procedures for the security class is un	der regulatory review.
(c) Includes S	current year, \$	prior year of bonds with 5* designations and \$	current year, \$	prior year of bonds with 6* designations. "5*" means the NAIC designation was assigned by the SVO in

; NAIC 5 \$

SCHEDULE D - PART 1A - SECTION 2

Maturity Distribution of All Bonds Owned December 31, At Book/Adjusted Carrying Values by Major Type and Subtype of Issues											
	1	2	3	4	5	6	7	8	9	10	11
		Over 1 Year	Over 5 Years	Over 10 Years		Total Current	Col. 6 as a %	Total from Col 6	% From Col.	Total Publicly	Total Privately
Distribution by Type	1 Year or Less	Through 5 Years	Through 10 Years	Through 20 Years	Over 20 Years	Year	of Line 9.5	Prior Year	7 Prior Year	Traded	Placed
1. U.S. Governments		_	_								
1.1 Issuer Obligations	43,170,713	14,719,092	7 , 561 , 430			65,451,234	70.5	100,185,662	79.9	65,451,234	
1.2 Residential Mortgage-Backed Securities						0	0.0	0	0.0		
1.3 Commercial Mortgage-Backed Securities						0	0.0	0	0.0		
1.4 Other Loan-Backed and Structured Securities	238,316	1,044,893	1,236,367	1,190,847		3,710,423	4.0	2,335,302	1.9	3,710,423	
1.5 Totals	43,409,028	15,763,985	8,797,796	1,190,847	0	69,161,657	74.5	102,520,965	81.8	69,161,657	0
2. All Other Governments											
2.1 Issuer Obligations						0	0.0	0	0.0		
2.2 Residential Mortgage-Backed Securities						0	0.0	0	0.0		
2.3 Commercial Mortgage-Backed Securities						0	0.0	0	0.0		
2.4 Other Loan-Backed and Structured Securities						0	0.0	0	0.0		
2.5 Totals	0	0	0	0	0	0	0.0	0	0.0	0	0
3. U.S. States, Territories and Possessions, Guaranteed											
3.1 Issuer Obligations	250,000		251,926			501,926	0.5	502,121	0.4	501,926	
3.2 Residential Mortgage-Backed Securities						0	0.0	0	0.0		
3.3 Commercial Mortgage-Backed Securities						0	0.0	0	0.0		
3.4 Other Loan-Backed and Structured Securities						0	0.0	0	0.0		
3.5 Totals	250,000	0	251,926	0	0	501,926	0.5	502,121	0.4	501,926	0
4. U.S. Political Subdivisions of States, Territories and Possessions, Guaranteed		252 222				050 000		050 000	2.0	252 222	
4.1 Issuer Obligations		250,000				250,000	0.3	250,000	0.2	250,000	
4.2 Residential Mortgage-Backed Securities						0	0.0	0	0.0		
4.3 Commercial Mortgage-Backed Securities						<u> </u>	0.0	0	0.0		
4.4 Other Loan-Backed and Structured Securities						0	0.0	0	0.0		
4.5 Totals	0	250,000	0	0	0	250,000	0.3	250,000	0.2	250,000	0
5. U.S. Special Revenue & Special Assessment Obligations, etc., Non-Guaranteed	0 040 500	2 200 700				4 047 000	5.0	2 200 220	2.6	4.647.368	
5.1 Issuer Obligations	2,346,580	2,300,788	1,138,278	290,076	18,089	4,647,368	3.5	3,288,339 3.731.491	3.0		
5.2 Residential Mortgage-Backed Securities	321,543	1,458,194	1,130,210	290,070	10,009	3,226,180		3,731,491		3,226,180	
5.3 Commercial Mortgage-Backed Securities	4,459	324,744				329,202	0.4		0.0	329,202	
5.4 Other Loan-Backed and Structured Securities	0.070.500	4 000 705	4 400 070	000 070	40.000	0.000.750	0.0	7 040 000	0.0	8.202.750	
5.5 Totals	2,672,582	4,083,725	1,138,278	290,076	18,089	8,202,750	8.8	7,019,830	5.6	8,202,750	0
6. Industrial and Miscellaneous	859,304	3,653,024	4,861,532			9,373,860	10.1	10,474,254	8.4	9,373,860	
6.1 Issuer Obligations	009,304		4,001,332				0.0	10,474,234	0.0	9,373,000	
6.3 Commercial Mortgage-Backed Securities	340,481	3,041,633				3,382,114	3.6	2,779,489	2.2	3,382,114	
6.4 Other Loan-Backed and Structured Securities	813.915	1,209,403				2,023,318	2.2	1,803,968	1.4	2,023,318	
6.5 Totals	2.013.700	7,904,060	4,861,532	0	0	14.779.292	15.9	15.057.711	12.0	14.779.292	0
7. Hybrid Securities	2,013,700	7,904,000	4,001,002	U	U	14,779,292	10.8	13,037,711	12.0	14,779,292	U
7.1 Issuer Obligations						0	0.0	0	0.0		
7.2 Residential Mortgage-Backed Securities						n	0.0	0	0.0		
7.3 Commercial Mortgage-Backed Securities						n	0.0	n	0.0		
7.4 Other Loan-Backed and Structured Securities						0	0.0	n	0.0		
7.5 Totals	n	0	0	0	0	0	0.0	0	0.0	n	Λ
8. Parent, Subsidiaries and Affiliates	U	U	U	0	U	0	0.0	U	0.0	0	U
8.1 Issuer Obligations						0	0.0	0	0.0		
8.2 Residential Mortgage-Backed Securities						0	0.0	0	0.0		
8.3 Commercial Mortgage-Backed Securities.						ñ	0.0	n	0.0		
8.4 Other Loan-Backed and Structured Securities						0	0.0	0	0.0		
8.5 Totals	0	0	0	0	0	0		0	0.0	0	0

SIOS

ANNUAL STATEMENT FOR THE YEAR 2013 OF THE Neighborhood Health Plan of Rhode Island

SCHEDULE D - PART 1A - SECTION 2 (Continued)

				.,, 0_							
	Maturity Distribution	on of All Bonds Ow	ned December 31, a	t Book/Adjusted Ca	rrying Values by M	ajor Type and Subt	ype of Issues			T	T
	1	2 Over 1 Year	3 Over 5 Years	4 Over 10 Years	5	6 Total	7 Col. 6 as a %	1	70 1 10111 0011 1	10 Total Publicly	11 Total Privately
Distribution by Type	1 Year or Less	Through 5 Years	Through 10 Years	Through 20 Years	Over 20 Years	Current Year	of Line 9.5	Prior Year	Prior Year	Traded	Placed
9. Total Bonds Current Year											
9.1 Issuer Obligations	46,626,596	20,922,903	12,674,888	0	0	80,224,388	86 .4	XXX	XXX	80,224,388	0
9.2 Residential Mortgage-Backed Securities	321,543	1,458,194	1,138,278	290,076	18,089	3,226,180	3.5	XXX	XXX	3,226,180	0
9.3 Commercial Mortgage-Backed Securities	344,940	3,366,376	0	0	0	3,711,316	4.0	XXX	XXX	3,711,316	0
9.4 Other Loan-Backed and Structured Securities	1,052,231	2,254,296	1,236,367	1,190,847	0	5,733,741	6.2	XXX	XXX	5,733,741	0
9.5 Totals	48,345,310	28,001,770	15,049,532	1,480,923	18,089	92,895,625		XXX	ХХХ	92,895,625	0
9.6 Lines 9.5 as a % Col. 6	52.0	30.1	16.2	1.6	0.0	100.0	XXX	XXX	XXX	100.0	0.0
10. Total Bonds Prior Year											
10.1 Issuer Obligations	28,684,679	18,790,059	13,307,457	0	53,918,181	XXX	XXX	114,700,376		114,700,376	0
10.2 Residential Mortgage-Backed Securities	1,043,893	1,932,925	754,673	0	0	XXX	XXX	3,731,491	3.0	3,731,491	0
10.3 Commercial Mortgage-Backed Securities	1,082,990	1,696,499	0	0	0	XXX	XXX	2,779,489	2.2	2,779,489	0
10.4 Other Loan-Backed and Structured Securities	1,826,913	1,471,031	841,326	0	0	XXX	XXX	4,139,270	3.3	4,139,270	0
10.5 Totals	32,638,475	23,890,515	14,903,456	0	53,918,181	XXX	XXX	125,350,626	100.0	125,350,626	0
10.6 Line 10.5 as a % of Col. 8	26.0	19.1	11.9	0.0	43.0	XXX	XXX	100.0	XXX	100.0	0.0
11. Total Publicly Traded Bonds											
11.1 Issuer Obligations	46,626,596	20,922,903	12,674,888			80,224,388	86.4	114,700,376	91.5	80,224,388	XXX
11.2 Residential Mortgage-Backed Securities	321,543	1,458,194	1,138,278	290,076	18,089	3,226,180		3,731,491	3.0	3,226,180	XXX
11.3 Commercial Mortgage-Backed Securities	344,940	3,366,376				3,711,316	4.0	2,779,489	2.2	3,711,316	XXX
11.4 Other Loan-Backed and Structured Securities	1,052,231	2,254,296	1,236,367	1,190,847		5,733,741	6.2	4,139,270	3.3	5,733,741	XXX
11.5 Totals	48,345,310	28,001,770	15,049,532	1,480,923	18,089	92,895,625	100.0	125,350,626	100.0	92,895,625	XXX
11.6 Line 11.5 as a % of Col. 6	52.0	30.1	16.2	1.6	0.0	100.0	XXX	XXX	ххх	100.0	XXX
11.7 Line 11.5 as a % of Line 9.5, Col. 6, Section 9	52.0	30.1	16.2	1.6	0.0	100.0	XXX	XXX	XXX	100.0	XXX
12. Total Privately Placed Bonds											
12.1 Issuer Obligations						0	0.0	0	0.0	XXX	0
12.2 Residential Mortgage-Backed Securities						0	0.0	0	0.0	XXX	0
12.3 Commercial Mortgage-Backed Securities						0	0.0	0	0.0	XXX	0
12.4 Other Loan-Backed and Structured Securities						0	0.0	0	0.0	XXX	0
12.5 Totals	0	0	0	0	0	0	0.0	0	0.0	XXX	0
12.6 Line 12.5 as a % of Col. 6	0.0	0.0	0.0	0.0	0.0	0.0	XXX	XXX	xxx	XXX	0.0
12.7 Line 12.5 as a % of Line 9.5. Col. 6. Section 9	0.0	0.0	0.0	0.0	0.0	0.0	XXX	l xxx	XXX	XXX	0.0

SCHEDULE DA - VERIFICATION BETWEEN YEARS

Short-Term Investm	ents				
	1	2	3	4	5
	Total	Bonds	Mortgage Loans	Other Short-term Investment Assets(a)	Investments in Parent, Subsidiaries and Affiliates
Book/adjusted carrying value, December 31 of prior year	80 , 423 , 156	80,423,156	0	0	0
Cost of short-term investments acquired	129,686,569	129,686,569			
3. Accrual of discount	782	782			
Unrealized valuation increase (decrease)	0				
5. Total gain (loss) on disposals	(254)	(254)			
6. Deduct consideration received on disposals	164,309,231	164,309,231			
7. Deduct amortization of premium	112,610	112,610			
Total foreign exchange change in book/adjusted carrying value	0				
Deduct current year's other-than-temporary impairment recognized	0				
10. Book adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	45,688,411	45 , 688 , 411	0	0	0
11. Deduct total nonadmitted amounts	0				
12. Statement value at end of current period (Line 10 minus Line 11)	45,688,411	45,688,411	0	0	0

(a) Indicate the category of such assets, for example, joint ventures, transportation equipment:

Schedule DB - Part A - Verification

NONE

Schedule DB - Part B - Verification

NONE

Schedule DB - Part C - Section 1

NONE

Schedule DB - Part C - Section 2

NONE

Schedule DB - Verification

NONE

SCHEDULE E - VERIFICATION BETWEEN YEARS

(Cash Equivalents)

(Cash Equivalents)	1	2	3
	Total	Bonds	Other (a)
Book/adjusted carrying value, December 31 of prior year	1	1	0
Cost of cash equivalents acquired	4,429,436	4,429,436	
3. Accrual of discount	0		
Unrealized valuation increase (decrease)	0		
5. Total gain (loss) on disposals	0		
Deduct consideration received on disposals	4,424,000	4,424,000	
Deduct amortization of premium	5,436	5,436	
Total foreign exchange change in book/adjusted carrying value	0		
Deduct current year's other-than-temporary impairment recognized	0		
10. Book/adjusted carrying value at end of current period (Lines 1+2+3+4+5-6-7+8-9)	1	1	0
11. Deduct total nonadmitted amounts	0		
12. Statement value at end of current period (Line 10 minus Line 11)	1	1	0

 $⁽a)\ Indicate\ the\ category\ of\ such\ investments,\ for\ example,\ joint\ ventures,\ transportation\ equipment$

Schedule A - Part 1

NONE

Schedule A - Part 2

NONE

Schedule A - Part 3

NONE

Schedule B - Part 1

NONE

Schedule B - Part 2

NONE

Schedule B - Part 3

NONE

Schedule BA - Part 1

NONE

Schedule BA - Part 2

NONE

Schedule BA - Part 3

NONE

									Chausina All I	one Torm BOI	IDC Owned Descri	mbor 21 of Current)	/								
1	2	1	Cod	AS	6	7	Fair	Value	10	ong-Term BO r		mber 31 of Current ` ange in Book / Adjuste					Interes	et .		Da	tos
'	2	3	4 F o r	5		,	8	9	10	11	12	13	14 Current Year's Other	15 Total Foreign	16	17	18	19	20	21	22
CUSIP	n Description	Code	e i g	Bond CHAR	NAIC Designatio	Actual n Cost	Rate Used to Obtain Fair Value	Fair Value	Par Value	Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Than Temporary Impairment Recognized	Exchange Change In B./A.C.V.	Rate of	Effective Rate of	When Paid	Admitted Amount Due & Accrued	Amount Rec. During Year	Acquired	Stated Contractual Maturity Date
	. Governments – Issuer Obligati		I I	CHAIN	Designatio	ii Cost	value	value	Value	value	(Decrease)	Accietion	Recognized	D./A.C.V.	UI UI	OI	i aiu	Accided	i Cai	Acquired	Date
912828-DH-0	TSY INFL IX N/B				1	250,306	103 . 1058	244,673	237,303	244,336	2,281	(6,773)			1.625	(1.238)	JJ	1,781	3,827	05/17/2012	01/15/2015
912828 - EA - 4			-		ļ <u>1</u>	236 , 101	105.4806	231,788	219,745	230,580	1,530	(5,656)			1.875	(1.317)	JJ	1,903	3,016	10/09/2013	07/15/2015
912828-ET-3 912828-FL-9					1		106.6800 109.7930	546,099 344,116	511,904 313,422	547 , 137 343 . 783	5,416 . 3.014	(16,949) (11,967)			2.000 2.500	(1.355) (1.287)	JJ JJ	4,730 3,620	8,973 7,775	01/25/2013 05/17/2012	01/15/2016 07/15/2016
912828-GD-6				·····	1	303,913	110 . 1633	296,009	268,700	295,336	2,584	(8,759)			2.375	(0.910)	JJ	2,948	6,333	01/24/2012	01/15/2017
	TSY INFL IX N/B.				ļ <u>1</u>	592,807	112.6147	566,019	502,615	571,723	4,830	(19,539)			2.625	(1.213)	JJ	6,095	13,092	05/17/2012	07/15/2017
912828-HN-3 912828-JE-1					1	229,424	108.8000 108.5650	217 , 127 129 , 349	199,565 119,144	225,026	1,919 . 1,146	(6,300) (2,957)			1.625 1.375	(1.439) (1.072)	JJJ	1 ,498 757	3,218	12/28/2012 05/17/2012	01/15/2018 07/15/2018
912828-JX-9					1	322.645	111.8148	312,615	279.583	316.997	2.688	(7,422)			2.125	(1.072)	JJ	2.745	5.895	01/24/2012	01/15/2019
912828-LA-6	TSY INFL IX N/B				1	372,632	111.2360	350,438	315,040	364,733	3,030	(8,975)			1.875	(0.933)	JJ	2,729	5,862	05/17/2012	07/15/2019
912828 - MF - 4			-		ļ <u>1</u>		107 .4725	107,954	100,448	108,073	0.040	(3)			1.375	0.113	JJ	638	4 000	12/30/2013	01/15/2020
912828-MY-3 912828-NM-8	TSY INFL IX N/BTSY INFL IX N/B.		·····			343,578 324,492	102.3038	341,806 303,823	334,109 283,810	341,420 321,219	3,212 2,727	(5,690)			0.500 1.250	(1.204)	AO JJ	358 1,639	1,663	05/17/2012 05/17/2012	04/15/2015 07/15/2020
912828-PP-9					1	982,952	105.1306	914,838	870, 192	976,818	8,370	(15, 138)			1.125	(0.605)	JJ	4,522	9,714	05/17/2012	01/15/2021
912828-QD-5					1		102.7832	762,408	741,763	765,824		(10,518)			0 . 125	(1.281)	AO	199	923	12/28/2012	04/15/2016
912828-QV-5	TSY INFL IX N/BUS TREASURY N/B.				ļ <u>1</u>	629,781	101.5729	613,666	604,163	639,506	5,807	(4,688)			0.625 1.000	(0 . 169) 0 . 504	JJ FA	1,744 7,180	3,747	01/20/2012 01/11/2013	07/15/2021
	US TREASURY N/B	+			1	1,058,834	100.9380	1,060,869	1,060,000	2, 140,677					0.250	0.304	FA		21, 130	12/19/2013	08/31/2016
912828-SA-9	TSY INFL IX N/B			· · · · · · · · · · · · · · · · · · ·	1	853,236	96 . 1287	783,680	815,241	859,874	8,282	(4,609)			0.125	(0.552)	JJ	471	729	05/31/2013	01/15/2022
912828-SQ-4			ļļ.		ļ1	952,550	102.8658	926,633	900,817	951,485	11,784	(13,979)			0.125	(1.551)	A0	241	1, 121	03/22/2013	04/15/2017
912828-SV-3 912828-SY-7					ļ <u>1</u>	1,611,177 2,411,188	92.4690 98.6950	1,486,902	1,608,000 2,409,000	1,610,158 2,410,693		(860) (491)			1.750 0.625	1.729 0.604	MN	3,654 1,324	24 , 133	06/25/2013 11/29/2012	05/15/2022 05/31/2017
	TSY INFL IX N/B				 	845,638	95.8087	2,377,563 755,126	788,160	847.604	7,582	(7,080)			0.125	(0.753)	WIN	455	978	11/30/2012	03/31/2017
912828-UE-8	US TREASURY N/B				1	145,179	97 . 7810	144,716	148,000	145,437		258			0.750	1 . 195	JD	3	555	07/30/2013	12/31/2017
912828 - UH - 1			ļļ.		ļ <u>1</u>		94.4273	504,504	534,278	563,074	5,659	(3,146)		ļ	0.125	(0.492)		309	301	10/09/2013	01/15/2023
912828-UX-6 912828-VB-3					11	910,725 264,580	102.0576 90.1330		877,036 285,000	909 , 131 264 , 809	1,841	(3,436) (228			0.125 1.750	(0.719) 2.607	AO	235 648	282 1 . 199	12/30/2013 11/27/2013	04/15/2018 05/15/2023
	US TREASURY N/B				1	281,176	99.8980	280,713	281,000	204,009		(10)			0.500	0.476	JD	66	433	12/18/2013	06/15/2016
912828-VM-9	TSY INFL IX N/B			·····	1	687,789	96.4091	667,644	692,512	688,564	712	64			0.375	0.436	JJ	1,200		11/29/2013	07/15/2023
	US TREASURY N/B		<u></u>		1	3,123,210	99 . 1020	3,095,946	3,124,000	3,123,341	04.540	131			1.375	1.379	JJ	17,976	4.47. 7.40	12/30/2013	07/31/2018
	Bonds - U.S. Governments - Iss G. Governments - Other Loan-Back				urition	22,377,308	XXX	21,651,802	21,537,549	22,280,521	91,543	(179,702)	0	0	XXX	XXX	XXX	72,889	147,749	XXX	XXX
	ABS - SBAP 2004-20K 1	T and	31140	2	1	457 , 486	107 . 1430	442,617	413,109	460,212		1,584			4.880	2.780	MN	3,360	20,583	05/24/2012	11/01/2024
83162C -RA -3	ABS - SBAP 2007-20E 1			2	11	214,839	109.0240	203,758	186,893	218, 107		1,300			5.310	2.799	MN	1,654	10,349	10/22/2012	05/01/2027
83162C -RN - 5	ABS - SBAP 2008-20A 1	. .	ļļ.	2	1	412,411	108.3970	396,970	366,219	413,894		490			5.170	3.269	JJ	9,467	19,329	05/24/2012	01/01/2028
83162C - RR - 6	ABS - SBAP 2008-20C 1 ABS - SBAP 2012-20F 1			2	ļ1		110 .5390 95 .0010	537 , 240 198 , 120	486,018 208,546	554,346		(937)			5.490 2.420	3.423	MS JD	8,894 421	27 , 127 5 . 184	05/24/2012 06/05/2012	03/01/2028
	ABS - SBAP 2012-201 1			<u>2</u>	1	196,485	93.0660	182,861	196 . 485	196.485					2.420	2.180	A0	1,071	4.093	10/09/2012	10/01/2032
83162C-VG-5	ABS - SBAP 2013-20A 1			2	11	284,876	93.4220	266,137	284,876	284,876					2.130	2.130	JJ	3,034	2,781	01/10/2013	01/01/2033
83162C - VN - 0				2	ļ <u>1</u>	287 , 100	92.2100	264,735	287 , 100	287,100					2.070	2.070	MN	990	2,740	05/09/2013	05/01/2033
	ABS - SBAP 2013-20F 1 ABS - SBAP 2013-20G 1	·	·····	2	11	776,857	94.2470 98.1660	732 , 165 304 . 315	776,857 310,000	776,857 310,000					2.450 3.150	2.450 3.150	JD	1,5861,449	8,984	06/06/2013 07/11/2013	06/01/2033
	Bonds - U.S. Governments - Oth	er Loar	1-Back	ed and Str	uctured		30.1000	, 40لا												0171172015	0770172033
0.00000	Securities	<u>2</u> 001	. 20011			3,702,547	XXX	3,528,918	3,516,103	3,710,423	0	2,437	0	0	XXX	XXX	XXX	34,925	101,171	XXX	XXX
	Bonds - U.S. Governments - Sub					26,079,856	XXX	25,180,720	25,053,652	25,990,944	91,543	(177, 264)	0	0	ХХХ	XXX	XXX	107,814	248,920	XXX	XXX
	. States, Territories and Poss	session	s (Dir	ect and G	uaranteed)			000 ***	050 000	054.000						,		0.500	10.750	10////00/12	00/04/0000
574192-5C-0 880541-NE-3	TN ST-TXB-SER D	<u> </u>			1FE 1FE	252,448 250,000	106 . 4320 100 . 6980	266,080 251,745	250,000 250,000	251,926 250,000		(194)			4.300 2.576	4 . 188 2 . 575	MS	3,583	10,750 6,440	12/14/2010 12/02/2009	03/01/2022 05/01/2014
1199999 -	Bonds - U.S. States, Territori		Posse	ssions (Di	rect and	502,448	vvv	E47 00F	500,000	501,926	_	(194)	0	0	yvv	vvv	XXX	4,657	17,190	XXX	vvv
1799999	Guaranteed) - Issuer Obligat Bonds - U.S. States, Territori		Posse	ssione (Ni	rect and	502,448	XXX	517,825	000,000	501,926	0	(194)	0	0	XXX	XXX	۸۸۸	4,00/	17,190	۸۸۸	XXX
1733339 -	Guaranteed) - Subtotals - U. Possessions (Direct and Guar	S. Stat	tes, Te			502.448	XXX	517,825	500,000	501,926	0	(194)	n	0	XXX	XXX	XXX	4,657	17,190	XXX	XXX
Bonds - U.S	Folitical Subdivisions of Sta			ries and F	Possessions					301,020	0	(134)	0		AAA	AAA	AAA	7,007	17,100	WW	7/1/1
	NYC-TAXABLE	I	IĬ		1FE	250.000		261.400	250.000	250.000					3.397	3.397	A0	2,123	8.493	09/30/2009	10/01/2015

									LE D -										
1 1	2	Codes	6	7	Fair	Value	Showing All L	ong-Term BON 11		mber 31 of Current ange in Book / Adjust					Interes	st		Da	ites
	_	3 4 5			8	9			12	13	14	15	16	17	18	19	20	21	22
CUSIP Identification	Description		IAR Designatio	Actual n Cost	Rate Used to Obtain Fair Value	Fair Value	Par Value	Book/ Adjusted Carrying Value	Unrealized Valuation Increase/ (Decrease)	Current Year's (Amortization)/ Accretion	Current Year's Other Than Temporary Impairment Recognized	Total Foreign Exchange Change In B./A.C.V.	Rate of	Effective Rate of	When Paid	Admitted Amount Due & Accrued	Amount Rec. During Year	Acquired	Stated Contractual Maturity Date
1899999 - E	Bonds - U.S. Political Subdivi Possessions (Direct and Guar			250,000	XXX	261,400	250,000	250,000	0	0	0	0	XXX	XXX	XXX	2,123	8,493	XXX	xxx
	Bonds - U.S. Political Subdivi Possessions (Direct and Guar Political Subdivisions of St (Direct and Guaranteed)	isions of States, ranteed) – Subtota tates, Territories	Territories and als - U.S. s and Possessions	250,000	XXX	261,400	250,000	250,000	0	0	0	0	XXX	XXX	XXX	2,123	8,493	XXX	XXX
	Special Revenue and Special	Assessment Obligat	tions and all No						ir Political Subdi	isions - Issuer Obl	igations	ı	4 200	4 200	I MO	500	0.075	02/20/2044	1 00/00/0044
3133EA - R2 - 6 3133EC - DK - 7 3135GO - TW - 3 491189 - FC - 5 645913 - AU - 8	FEDERAL HOWE LOAN BANK FEDERAL FARM CREDIT BANK FEDERAL FARM CREDIT BANK FANNIE MAE KY ASSET FND NTS- NJ ECON-SER B. TENN VALLEY AUTHORITY		1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	175,000 200,000 249,950 250,000 250,000 150,188 250,000 276,966 349,728 273,691	100.2790 100.0320 99.9630 99.8390 99.9500 98.8620 99.9610 99.9510 102.7730 96.1510 99.3790	175,488 200,064 249,908 249,598 249,875 148,293 249,903 249,878 271,816 349,990 273,292		175,000 200,000 249,967 250,000 250,000 150,000 250,000 250,000 274,273 352,791 273,757					1 300 1 170 0 400 0 430 0 500 0 970 0 340 0 400 3 165	1.300 1.170 0.407 0.430 0.500 0.642 0.340 0.400 2.246 1.479	JJ AO FA	. 588 1,092 189 415 458 469 359 419 2,093	2,275 2,340 750 538 625 728 425 500 8,371	03/28/2011 03/24/2011 .01/24/2013 .01/24/2013 .01/34/2013 .04/16/2013 .01/24/2013 .10/02/2012 .05/22/2013 .09/24/2013	
2599999 - E	Bonds - U.S. Special Revenue a and all Non-Guaranteed Oblic Authorities of Governments a Issuer Obligations	gations of Agencie and Their Politica	es and al Subdivisions	2,675,522	XXX	2,668,103	2,678,482	2,675,788	0	785	0	0	XXX	XXX	XXX	7,338	16,551	XXX	ххх
	Special Revenue and Special CMO/RMBS - FNR 2011-106 LE	Assessment Ubligat	tions and all No	n-Guaranteed Obt	Igations of Ag	encies and Auth 129,157	124,832	nments and the	ir Political Subdi	visions - Residential	Mortgage-Backed	Securities	3.000	1.807	MON	312	3,745	10/17/2012	02/25/2036
3137A9 - QP - 4 3137AJ - YX - 6 3138EH - Y6 - 3 3138NJ - AB - 4 31394U - CZ - 3 31396H - VX - 4 31407V - FQ - 3 31416B - T2 - 4	CMO/RMBS - FHR 3842 PH. CMO/RMBS - FHR 3977 AD. RMBS - FN AL 1632 RMBS - FN FN0001. CMO/RMBS - FNR 2005-86 WD. CMO/RMBS - FHR 3117 PL. RMBS - FN 841775. RMBS - FN 995269. RMBS - FN 400149.	2 2	2 1. 2 1. 23 1. 2 1. 2 1. 2 1. 2 1. 2 1. 2 1. 2 1. 2	186, 985 145, 099 118, 961 822, 507 117, 180 62, 521 696, 288 358, 056 629, 304	104 7444 103 8691 106 2450 104 9150 102 5658 102 0004 105 6580 105 6600 112 9590	183,741 145,408 119,200 788,039 113,618 60,735 689,166 356,382 619,545	175, 419 139, 992 112, 194 751, 121 110, 776 59, 544 652, 261 337, 291 548, 469	189,735 144,964 118,479 810,263 114,937 62,145 693,232 356,577 607,836		2,545 (135) (299) (7,768) (1,556) (163) (1,897) (918) (13,588)			4 000 3 000 2 298 3 763 5 000 5 000 2 174 1 923 5 341	1,710 1,707 0,859 2,434 0,469 0,354 1,185 0,991 2,445	MON MON MON	585 350 215 2,434 462 248 1,182 541 2,523	7,017 2,450 2,606 28,655 5,539 2,977 16,269 6,959 29,710	05/22/2012 05/22/2013 05/18/2012 05/29/2012 11/01/2012 11/02/2012 05/17/2012 05/17/2012 05/24/2012	04/15/2041 09/15/2029 07/01/2038 12/01/2020 03/25/2034 08/15/2034 09/01/2035 07/01/2035 06/01/2018
	Bonds - U.S. Special Revenue a and all Non-Guaranteed Oblig Authorities of Governments a Residential Mortgage-Backed Special Revenue and Special	gations of Agencie and Their Politica Securities	es and al Subdivisions	3,264,581	XXX	3,204,992	3,011,898	3,226,180	0	(23,391)	0 Martinga Dacked S	0	XXX	XXX	XXX	8,850	105,927	XXX	XXX
	CMBS - FNA 2013-M5 ASQ2	ASSESSIIIEITI ODTTYA	211	329,245		328,656	329,245	329,202	II FUITLICAI SUDUI	(42)	WOTT gage-backed St	L	0.595	0.577	MON	163	1,609	04/15/2013	08/25/2015
2799999 - E	Bonds – U.S. Special Revenue a and all Non-Guaranteed Oblig Authorities of Governments a Commercial Mortgage-Backed S	gations of Agencie and Their Politica Securities	es and al Subdivisions	329,245	XXX	328,656	329,245	329,202	0	(42)	0	0	XXX	XXX	XXX	163	1,609	XXX	XXX
	Bonds - U.S. Special Revenue a and all Non-Guaranteed Oblic Authorities of Governments a Subtotals - U.S. Special Rev Obligations and all Non-Guar Governments and Their Politi	pations of Agencie and Their Politica venue and Special ranteed Obligation ical Subdivisions	es and al Subdivisions Assessment ns of Agencies of	-	XXX	6,201,752	6,019,625	6,231,170	0	(22,648)	0	0	XXX	XXX	XXX	16,352	124,087	XXX	XXX
02581F-YE-3 031162-BD-1 037833-AG-5 06406H-BP-3 084664-BS-9	ISTRIAL AND MISCELLANEOUS (UNA AMERICAN EXPR CENTURION. AMGEN INC. APPLE INC. BANK OF NEW YORK MELLON. BERKSHIRE HATHAWAY FIN. BERKSHIRE HATHAWAY INC.	ttiliated) - Issue	er Obligations	386,118 249,073 346,000 394,538 143,074 305,727	114.7270 101.4670 99.8310 107.7630 100.9640 102.3020		320,000 250,000 346,000 350,000 140,000 300,000						6.000 3.450 0.492 4.600 1.600	1.759 3.494 0.499 2.743 1.035	JJ	5,760 2,156 279 7,424 286 2,391		07/26/2012 09/13/2010 04/30/2013 05/18/2012 05/20/2013 05/17/2012	09/13/2017 10/01/2020 05/03/2018 01/15/2020 05/15/2017 01/31/2017

Showing All	Long Torm BONDS	Owned December	r 31 of Current Vear

												ember 31 of Current									
1	2		Cod	les	6	7	Fair	Value	10	11		nange in Book / Adjust	ed Carrying Value				Interes				tes
		3	4 F o r	5			8	9			12	13	14 Current Year's Other	15 Total Foreign	16	17	18	19	20	21	22
CUSIP			e i a	Bond	NAIC	Actual	Rate Used to Obtain Fair	Fair	Par	Book/ Adjusted Carrying	Unrealized Valuation Increase/	Current Year's (Amortization)/	Than Temporary Impairment	Exchange Change In	Rate	Effective Rate	When	Admitted Amount Due &	Amount Rec. During		Stated Contractual Maturity
Identification		Code	n		Designation	Cost	Value	Value	Value	Value	(Decrease)	Accretion	Recognized	B./A.C.V.	of	of	Paid	Accrued	Year	Acquired	Date
	. CATERPILLAR FINANCIAL SE				1FE	266,297	122.9230	251,992	205,000	257 ,998		(8,299)			7 . 150	1.838	FA	5,537	7,329	02/21/2013	02/15/2019
	CATHOLIC HEALTH INITIATI			1	1FE 1FE	340,854 288,000	96.9250 95.9950	336,330 276,466	347,000 288,000	341,192 288,000		338			1.600 3.191	2.057 3.191	MN JD	925 179	2,776 4,595	10/04/2013 06/17/2013	11/01/2017 06/24/2023
17275R-AE-2				!! 1	1FE	260,295	112 .4830	281,208	250,000	256,508		(1,111)		†	4.950	4.377	FA	4,675	12,375	03/26/2010	02/15/2019
20825C - AR - 5	CONOCOPHILLIPS				1FE	429,842	115.4770	404,170	350,000	411,665		(11,384)			5.750	2.080	FA	8,385	20 , 125	05/18/2012	02/01/2019
24422E - RY - 7		ļ			1FE	302,746	94 . 1680	301,338	320,000	303,331		585			1.700	2.639	JJ	2,508		10/04/2013	01/15/2020
	. DUKE ENERGY FLORIDA INC	ļ		1	1FE	260 , 165	108.7280	271,820	250,000	257 , 330		(1,014)			4.550	4.015	AO	2,844	11,375	12/15/2010	04/01/2020
	GENERAL ELEC CAP CORP				1FE	146,977	115.0730	142,691	124,000	144,385		(2,592)			5.550	2.710	MN	1,090	6,882	02/06/2013	05/04/2020
36962G-4D-3 38141G-FG-4	GENERAL ELEC CAP CORP				1FE 1FE	166,444 124,814	117 .3310	159,570 135,296	136,000	163 , 168		(3,276)		†	6.000 5.950	2.190 5.075	FA	3,264	4,080 7,081	04/05/2013 05/18/2012	08/07/2019 01/18/2018
38259P-AC-6		t		·····	1FE	236,702	103.3190	232,468	225,000	232,764		(3,268)			2.125	0.643	MN	558	4,781	10/24/2012	05/19/2016
	HSBC USA INC.	ļ	. R.		1FE	240,103	106.9070	267,268	250,000	242,621				1	5.000	5.531	MS	3,264	12,500	12/08/2010	09/27/2020
458140-AH-3	. INTEL CORP				1FE	362,352	102.8000	359,800	350,000	357,856		(2,801)		I	1.950	1.118	AO	1,706	6,825	05/18/2012	10/01/2016
	. IBM CORP			1	1FE	420,588	114.8300	401,905	350,000	399,856		(12,950)		ļ	5.700	1.709	MS	5,930	19,950	05/18/2012	09/14/2017
594918-AT-1_	MICROSOFT CORP			1	1FE	294,009	90 .4700	266,887	295,000	294,068		59			2.375	2.413	MN	1,168	3,484	04/25/2013	05/01/2023
617446-H5-1	. MORGAN STANLEY			1	2FE	133,390	111.5520	145,018	130,000	131,784		(482)			5.550	5.095	AO	1,283	7,215	04/15/2010	04/27/2017
	NOVARTIS CAPITAL CORP		K	l	1FE 1FE	236,246 257,816	108.9130 113.2770	217,826 249,209	200,000 220,000	230,976 253,198		(4,603) (4,618)		†	4.400 5.625	1.793 1.589	AO	1,638 1,581		11/06/2012 06/06/2013	04/24/2020 11/15/2017
	ORACLE CORP	····-		1	1FE	259,515	101.7260	254,315	250,000	251,202		(2,269)		†	3.750	2.810	JJ	4,505	9,375	12/29/2009	07/08/2014
	PUBLIC SERVICE COLORADO			' 1	1FE	256,179	100.5150	271,391	270,000	259.808		1.274			3.700	3.830	MN	1.104	8.640	12/13/2010	11/15/2020
797440-BR-4	SAN DIEGO G & E	1		1	1FE	339,946	99.9500	339,830	340,000	339.946		0			3.600	3.602	MS	3,808		09/04/2013	09/01/2023
828807 - CA - 3				1	1FE	340,765	135.3170	338,293	250,000	340,346		(419)			10.350	2.593	AO	6,469		12/18/2013	04/01/2019
	SW AIRLINES 07-1 TRUST			2	1FE	352,065	114.5000	352,509	307,868	346,070		(4,231)			6 . 150	3.634	FA	7,889	18,934	05/18/2012	08/01/2022
	PRINCETON UNIVERSITY			1	1FE	266,568	113.0840	282,710	250,000	260 , 126		(1,730)			4.950	4.072	MS	4,125	12,375	11/24/2009	03/01/2019
	. UNITED TECHNOLOGIES CORP			1	1FE 1FE	143,411	118 .0400 115 .5590	135 , 746 404 , 457	115,000	139 ,816404 ,804		(3,595) (12,684)			6.125 5.800	1.679 1.838	FA	2,935 7,669	3,522	03/19/2013 05/18/2012	02/01/2019 02/15/2018
	Bonds - Industrial and Miscella Obligations	aneous	(Unaf	filiated)	- Issuer	8,975,668	XXX	8,872,143	8,247,868	8,827,741	0	(98,539)	0	0	XXX	ХХХ	XXX	106,540	271,169	XXX	ХХХ
	ustrial and Miscellaneous (Unaf	filiate	ed) -	Commercial	l Mortgage-B																
	CMBS - BACM 2005-6 A4			23	1FM	353,528	106 . 4536	356,620	335,000	342,621		(4,840)			5 . 184	3.749	MON	1,447	17,614	05/22/2012	09/10/2047
	. CMBS - BSCMS 2004-PWR4 A3			23	1FM	236,856	100 . 5717	226,698	225,409	228,218		(8,639)			5.468	0.492	MON	1,027	11,401	01/08/2013	06/11/2041
	. CMBS - BSCMS 2007-PW16 A2			23	1FM		99.7001	73,311	73,532			(281)			5.654	3.765	MON	346 583	4,223	06/05/2012	06/11/2040
12513E-AG-9 126171-AF-4	CMBS - CD 2005-CD1 A4			23 23	1FM 1FM	149,253 282.059	106.0265 105.1646	142,076 278.686	134,000 265,000	141,539 278,898		(4,842)		 	5.218 5.116	1.565 1.337	MON	1.130	7,090 3.389	05/22/2012 08/30/2013	07/15/2044 06/10/2044
12623S-AB-6	CMBS - COMM 2003-CO ASA			23 2	1FM	659,074	98.3830	632,603	643,000	655,698		(3, 220)			1.678	1.155	MON		10,790	12/06/2012	12/10/2045
	CMBS - CD 2006-CD3 A4			2	1FM	173,104	101.1816	167,915	165,954	169,690		(1,089)			5.658	3.062	MON	782	9.734	05/24/2012	10/15/2048
	. CMBS - COMM 2007-C9 A4	[]		23	1FM	522,037	112.7632	513,073	455,000	506,808		(9,799)		I	5.800	2.359	MON	2,199	18,391	11/05/2013	12/10/2049
20048E-AV-3	CMBS - COMM 2013-LC6 A2	ļ		2	1FM	183,334	99.0892	176,379	178,000	182,346		(988)			1.906	1.271	MON	283	3,110	01/24/2013	01/10/2046
		ļ	R	23	1FM	168,606	105.4578	162,405	154,000	163,569		(5,036)		ļ	5.224	1.242	MON	670	6,704	02/27/2013	04/10/2037
	. CMBS - JPMCC 2005-CB13 A4		-	23	1FM	363,369	106 . 1419	354,514	334,000	349,393		(9,840)			5.244	2.425	MON	1,460	17,858	05/18/2012	01/12/2043
	CMBS - JPMCC 2005-LDP5 A4 CMBS - JPMCC 2012-LC9 A2			23	1FM 1FM	121,996 172,200	106 . 5437 99 . 0636	118,264 166,427	111,000 168,000	115,040 171,291		(2,264) (885)		t	5.200 1.677	3.070 1.128	MON MON	481 235	5,849 2,817	10/26/2010 12/12/2012	12/15/2044 12/15/2047
	Bonds - Industrial and Miscella			filiated)	IFWI	,				, .		(***/							, ,		
	Commercial Mortgage-Backed Se		ès	,		3,461,599	XXX	3,368,969	3,241,895	3,382,114	0	(54,884)	0	0	XXX	XXX	XXX	11,542	118,970	XXX	XXX
	ustrial and Miscellaneous (Unaf	filiate	ed) -	Other Loan																	
	ABS - BMWLT 2012-1 A3	 	-	2	1FE	358,809	100.0654	357 , 161	356,927	357,230		(1,146)			0.750	0.350	MON	82	2,677	08/28/2012	02/20/2015
34528Q-CD-4	ABS - FORDF 2013-1 A1 ABS - GEDFT 2012-1 A	ļ		2	1FE	174,795	100.0174	175,030	175,000	174,818		23			0.850 0.737	0.903	MON	66	372	09/25/2013	01/15/2018
	. ABS - GEET 2012-1 A	 		23	1FE 1FE	235,955 185,043	100 .3111	235,731 184,514	235,000 185,000	235 , 401 185 , 034		(352)		†	0.737 0.810	0.587 0.802	MON	58 29	1,816 874	06/01/2012 06/11/2013	02/20/2017 09/24/2020
44890.1-AR-5	ABS - HART 2013-A A2	t		2 2	1FE	233,324	100.0053	233,352	233,340	233,334		10)		†	0.400	0.02	MON	41	074 817	01/24/2013	12/15/2015
477879-AD-2	ABS - JDOT 2013-B A4	[····		2	1FE	252.891	100.4582	251,146	250.000	252,833		(58)			1.390	1.009	MON	154	290	12/04/2013	12/16/2019
47787R-AD-2	ABS - JDOT 2012-B A4			2	1FE	299,402	99.7174	299 , 152	300,000	299,464		62		I	0.690	0.774	MON	92	518	09/25/2013	01/15/2019
	. ABS - NALT 2012-B A3		R	2	1FE	285,445	100.0606	285 , 173	285,000	285,204		(240)			0.580	0.496	MON	73	1,653	12/26/2012	11/16/2015
3599999 -	Bonds - Industrial and Miscella Loan-Backed and Structured Se			filiated)	- Other	2,025,665	XXX	2.021.259	2.020.267	2.023.318	0	(1.712)	0	0	XXX	XXX	ххх	596	9.016	XXX	XXX
3899999 -	Bonds - Industrial and Miscella			filiated)	- Subtotals	_,020,000		_,.2.,200	_, == ,== ;== ;	_,:20,0.0		(.,.12)		ľ				550	3,0.0		
	- Industrial and Miscellaneou					14.462.931	XXX	14.262.370	13.510.030	14.233.173	0	(155.134)	0	0	XXX	XXX	XXX	118.679	399.155	XXX	XXX

SCHEDULE D - PART 1

								Showing All L	.ong-Term BON	NDS Owned Dece	ember 31 of Current	Year								
1	2	С	odes	6	7	Fair	Value	10	11		ange in Book / Adjust	ted Carrying Value				Intere	st		Da	ates
		3 4 F o r				Rate Used	0		Book/	12 Unrealized	13	14 Current Year's Other Than	Total Foreign Exchange	16	17	18	19 Admitted	20 Amount	21	Stated
CUSIP		g	Bond	NAIC	Actual	to Obtain Fair	Fair	Par	Adjusted Carrying	Valuation Increase/	Current Year's (Amortization)/	Temporary Impairment	Change In	Rate	Effective Rate	When	Amount Due &	Rec. During	i '	Contractual Maturity
Identification	Description	Code n		Designation		Value	Value	Value	Value	(Decrease)	Accretion	Recognized	B./A.C.V.	of	of	Paid	Accrued	Year	Acquired	Date
	Bonds - Total Bonds - Subtotal				34,780,945	XXX	33,971,273	33,213,898	34,535,976	91,543	(277,649)	0	0	XXX	XXX	XXX	193,547	461,152	ХХХ	XXX
7899999 -	Bonds - Total Bonds - Subtotal	s – Reside	ential Morto	age-Backed																
700000	Securities				3,264,581	XXX	3,204,992	3,011,898	3,226,180	0	(23,391)	0	0	XXX	ХХХ	XXX	8,850	105,927	XXX	XXX
	Bonds - Total Bonds - Subtotal Securities		_	-	3,790,843	XXX	3,697,625	3,571,140	3,711,316	0	(54,926)	0	0	XXX	XXX	XXX	11,706	120,580	XXX	XXX
8099999 -	Bonds - Total Bonds - Subtotal Structured Securities	s - Other	Loan-Backed	l and	5,728,213	XXX	5,550,177	5,536,370	5,733,741	0	725	0	0	XXX	XXX	XXX	35,521	110 . 187	XXX	XXX
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8300000	Subtotals - Total Bonds	4			47,564,582	XXX	46,424,067	45,333,307	47 , 207 , 214	91,543	(355,241)	0	0	XXX	XXX	XXX	249,624	797,845	XXX	XXX
0000000	Captotals - Total Dollas				71,007,002	AAA	70,747,007	70,000,001	71,201,214	01,040	(000,241)	U		ΛΛΛ	AAA	7///	270,024	101,040	AAA	, AAA

Schedule D - Part 2 - Section 1 NONE

Schedule D - Part 2 - Section 2

NONE

Showing All Lo	nng-Term Ronds and	Stocks ACQUIRED	During Current Year

9000-9-6-1 (19 Mr. 1 in 10				Showing All Long-Term Bonds and Stocks ACQUIRED During	g Current Year			
Description Description	1	2	3 4	5	6	7	8	9
Description Description	OLIOID				Northwest	A . 1 1		Deld for Arrest
Section Sect		Description	Foreign Date Acqui	Name of Vendor			Par Value	
Section Sect			Foreign Date Acqui	ed Name of Vendor	Shares of Stock	COSI	rai value	Interest and Dividends
SHEE-66 46 5-99 PAIS-55 1.55 LOTAL 1.50 LOTAL		ABS - SBAP 2013-20A 1	01/10/2013	VAR I OUS.	XXX	291,000	291,000	
Section Company Comp		ABS - SBAP 2013-20E 1						
SPECIAL 19 18 18 18 18 18 18 18		ABS - SBAP 2013-20F 1						
School 1								256
CORRESPONDED 10 10 10 10 10 10 10 1	912828-ET-3		01/25/2013	MIPES INC EIXED INCOME		131.844		
SECURATION 10 10 10 10 10 10 10 1	912828-MF-4	TSY INFL IX N/B	12/30/2013	CITIGROUP GLOBAL MARKETS INC		108,076		634
9000-9-1 (8 REASH II B)	912828-RF-9	US TREASURY N/B	01/11/2013	UBS WARBURG LLC.				926
9000-9-1 (8 REASH II B)	912828-SA-9	ISY INFL IX N/B						148
99222-1-2 (8) 18-548 W (B) (1) 14-10 (1) 15-10		US TREASURY N/B	06/25/2013					3 273
\$100,000 \$100,000	912828-UE-8	US TREASURY N/B	07/30/2013	CITIGROUP GLOBAL MARKETS INC.	XXX	819,086	835,000	562
Second S		TSY INFL IX N/B.	10/09/2013					43
9126-97-62 \$1 FRESHY NIS 121 (\$1) (\$25 FRESHY NIS 121 (\$2) (\$25 FRESHY NIS 121 (\$2) (\$25 FRESH NIS 121 (\$2) (\$25 FRESH NIS 121 (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$2) (\$2) (\$25 FRESH NIS 121 (\$2) (\$2) (\$2) (\$2) (\$2) (\$2) (\$2) (\$2)				WARTOUS.				201
97229-97-0 15 MPC 18 MPC 11120/2015 MPC 1202/2015	912020-VD-3 912828_VG_2		12/18/2013					
### PROPERTY OF STATE AND THE CONTROL OF STATE		TSY INFL IX N/B.				777 .636		402
State Processed Revenue and Special Assessment and all Ren-Barrelton Of Englishmen and Teal Fail Lical Stations					XXX	3,395,407		
31331-91-5 PERSEN, HIRE LOAN BOX. 12(1)(2)(12) No. Frovinced 333, 20,900 20,000 31331-71-3 31331-71-3 12(1)(1)(1)(1) No. Mod. 12(1)(1)(1)(1) No. Mod. 12(1)(1)(1)(1) No. Frovinced 333, 15(1)(1)(1) 15(1)(1)(1) 15(1)(1)(1) 15(1)(1)(1)(1) 15(1)(1)(1)(1)(1)(1)(1)(1)(1)(1)(1)(1)(1)(0599999 - Bonds - I	U.S. Governments				11,175,529	11,061,636	20,853
31332-17-3		Revenue and Special Assessment and all Non-Guaranteed						
19339-48-7 FERRIN FINE (LON PAIN.								6
131324-12-4 FEEDER FARM DEDIT BWK				Adjustment				
1315C-14-7 FEDRIN FAMILY (RED)	3133EA-R2-6	FEDERAL FARM CREDIT BANK	04/16/2013	Not Provided		150 . 188		170
3190-71-9 ORS PNA 2011-NG ANS2	3133EC - DK - 7	FEDERAL FARM CREDIT BANK	01/24/2013	Not Provided		250,000	250,000	
1973 1974 1974 1975	3135G0-TW-3	FANNIE MAE	01/24/2013				250,000	407
6497-3-11-8 N. P.ON-SER		CMBS - FNA 2013-M5 ASQZ		BARCIAVS CARITAL INC ELVEN INC				
September Ten Wallet Auffrikitity September Se			05/22/2013					
Books - Dools Fried Anni Niscol Annous (Indiff Lint Col.		TENN VALLEY AUTHORITY.	09/24/2013	MORGAN STANLEY DEAN WITTER		273,691	275,000	
D37833-46-5 APPLE INC			on-Guaranteed Obligations of Agencies	and Authorities of Governments and Their Political Subdivisions		2,542,000	2,551,480	710
07387-F7-8								
OB4664-RS-9	03/833-AG-5		05/01/2013	MUDEC INC. FLYED INCOME				
126171-F-F-4 DIBS - COMM 2005- C66 A5A 0.9).01/2013 Adjustment	084664-BS-9	BERKSHIRE HATHAWAY FIN	05/20/2013	WARTOUS				500
149121-4E-8, CATERPILLAR FINANCIAL SE	126171-AF-4		09/01/2013	Adjustment				151
66/67/4-H-3 OFFWIN CORP	14912L - 4E - 8	CATERPILLAR FINANCIAL SE	02/21/2013	MOŔGAN STANLEY DEAN WITTER.		266,297		448
20047R-AE-3		CATHOLIC HEALTH INITIATI	10/04/2013	CHASE SECURITIES		340,854		
2008E-AV-3 CMBS/CMD - COMM 2013-16 A2 011/24/2013 DEUTSOFE BANK ALEX BROWN XXX 183,334 178,000 27. 2442ZE-R-7 JOHN DEERE CAPITAL CORP 0.09/25/2013 AVAI TOUS XXX 30.746 320.000 1.285 3.45280-CD-4 ABS - FORDF 2013-1 A1 0.99/25/2013 NOMBAR SECURITIES/FIXED INCOME XXX 1174,795 1.75,000 3.45 3.6193-R-4 ABS - GET 2012-2 A4 0.06/11/2013 NOMBAR SECURITIES/FIXED INCOME XXX 186,043 186,043 186,000 3.8 3.69626-27-0 GENERAL ELEC CAP CORP 0.2/06/2013 C1TI GROUP GLOBAL MARKETS INC XXX 146,977 124,000 1.85 3.69626-40-3 GENERAL ELEC CAP CORP 0.2/06/2013 C1TI GROUP GLOBAL MARKETS INC XXX 166,044 136,000 1.42 3.69626-40-3 GENERAL ELEC CAP CORP 0.2/10/2013 C1TI GROUP GLOBAL MARKETS INC XXX 166,064 136,000 1.42 3.69626-40-3 GENERAL ELEC CAP CORP 0.2/10/2013 C1TI GROUP GLOBAL MARKETS INC XXX 186,606 154,000 0.00 3.69679-1 CLBS/CMD - GCCF 2000-6664 5 0.02/12/2013 C1TI GROUP GLOBAL MARKETS INC XXX 186,606 154,000 0.00 3.477879-A0 - A8S - JODT 2013-B A4 0.1/24/2013 C1TI GROUP GLOBAL MARKETS INC XXX 334,978 335,000 3.77787R-A0-2 A8S - JODT 2012-B A4 0.1/24/2013 C1TI GROUP GLOBAL MARKETS INC XXX 252,891 250,000 3.47787P-A0-2 A8S - JODT 2012-B A4 0.9/25/2013 NOMMAR SECURITIES/FIXED INCOME XXX 299,402 300,000 3.694918-A1-1 MICROSOFT CORP 0.4/25/2013 NOMMAR SECURITIES/FIXED INCOME XXX 299,402 300,000 3.694918-A1-1 MICROSOFT CORP 0.4/25/2013 NOMMAR SECURITIES/FIXED INCOME XXX 299,402 300,000 3.694918-A1-1 MICROSOFT CORP 0.4/25/2013 NOMMAR SECURITIES/FIXED INCOME XXX 299,402 300,000 3.694918-A1-1 MICROSOFT CORP 0.4/25/2013 NOMMAR SECURITIES/FIXED INCOME XXX 299,402 300,000 3.694918-A1-1 MICROSOFT CORP 0.4/25/2013 NOMMAR SECURITIES/FIXED INCOME XXX 299,402 300,000 3.694918-A1-1 MICROSOFT CORP 0.4/25/2013 NOMMAR SECURITIES/FIXED INCOME XXX 299,402 300,000 3.694918-A1-1 MICROSOFT CORP 0.4/			11/05/2013					175
2442F-RY-T. JOHN DEERE CAPITAL CORP 10/04/2013, VARIOUS. XXX. 302,746 320,000 1.28/345280-04. ABS - FORDF 2013-1 A1 1.09/25/2013, NOMINA SCURITIES/FIXED INCOME. XXX. 174,795 175,000 4.8/369625-0.		CMBS/CMO - COMM 2013-LC6 A2						273
361634-RE-4 ABS - GEET 2012-2 AA D6/11/2013. NOMURA SCURTITES/FIXED INCOME XXX 185 003 185 000 1.85 000	24422E -RY -7	JOHN DEERE CAPITAL CORP.	10/04/2013	VARIOUS		302,746	320,000	1,269
369662-71-0 GEMERAL ELEC CAP CORP 02/06/2013 CITIGRQUP GLOBAL MARKETS INC. XXX 146,977 124,000 1,85-369626-40-3 GEMERAL ELEC CAP CORP. 04/05/2013 CITIGRQUP GLOBAL MARKETS INC. XXX 168,644 136,000 1,42 2,36789-LL-1 CMBS/CMO - GCCFC 2005-G65 A5 02/27/2013 Goldman Sachs XXX 168,606 154,000 600 48901-JAB-5 ABS - HART 2013-A A2 01/24/2013 CITIGRQUP GLOBAL MARKETS INC. XXX 334,978 335,000 477879-A0-2 ABS - JDDT 2013-B A4 294,000 295,000 233 47787R-AD-2 ABS - JDDT 2012-B A4 09/25/2013 NOMURA SECURITIES/FIXED INCOME XXX 299,402 300,000 88 49818-AT-1 MICROSOFT CORP 04/25/2013 MILPFS INC FIXED INCOME XXX 294,009 295,000 295,00	34528Q-CD-4	. ABS - FORDF 2013-1 A1.		NOMURA SECURITIES/FIXED INCOME.				45
368626-40-3 GENERAL ELEC CAP CORP 0.4/05/2013 CIT IGROUP GLOBAL MARKETS INC XXX 166, 444 1.36, 000 1.420 3.96789-LL-1 CMBS/CMO - GCCFC 2005-GG5 5.5 0.2/27/2013 Goldman Sachs XXX 1.88 - MART 2013-A A2 0.1/24/2013 CIT IGROUP GLOBAL MARKETS INC XXX 3.49, 78 3.335, 000 3.23 3.47878 - A0-2 ABS - HART 2013-A A2 0.1/24/2013 MONURA SECURITIES/FIXED INCOME XXX 259, 891 2.50 0.00 2.33 4.77877-A0-2 ABS - JODT 2013-B A4 0.9/25/2013 MONURA SECURITIES/FIXED INCOME XXX 2.99, 402 3.00 0.00 3.23 3.20 3.00 3.23 3.20 3.00 3.23 3.20 3.00 3.23 3.20 3.00 3.23 3.20 3.00 3.23 3.20 3.00 3.23 3.20	36163A - AE - 4	ABS - GEET 2012-2 A4		NOMURA SECURITIES/FIXED INCOME		185,043		1 054
396789-LL-1. CMBS/CMD - GCCFC 2005-665 A5.		GENERAL ELEC CAP CORP	04/05/2013	CITIGROUP GLOBAL MARKETS INC				1 //28
A4890J-AB-5	396789-LL-1	CMBS/CMO - GCCFC 2005-GG5 A5		Goldman Sachs		168,606		603
A7787R-AD-2	44890J-AB-5	ABS - HART 2013-A A2	01/24/2013	CITIGROUP GLOBAL MARKETS INC.		334,978	335,000	
South Sout	477879-AD-2	. ABS - JDOT 2013-B A4.		NOMURA SECURITIES/FIXED INCOME.				232
67021C-RE-7 NSTAR ELECTRIC CO. D6/06/2013 Keybank XXX 257,816 220,000 894 200,000 200,	4//8/K-AU-2	MICROSOFT CORP	09/25/2013					
Typ440-BR-4 SAN DIEGO G & E Dy04/2013 Royal Bank of Scotland Securities XXX 339,946 340,000								894
913017-B0-1 UNITED TECHNOLOGIES CORP. 03/19/2013 Southwest Securities. XXX	797440-BR-4	SAN DIEGO G & E	09/04/2013		XXX	339,946	340,000	
389999 - Bonds - Industrial and Miscellaneous (Unaffiliated) 5,779,554 5,451,962 17,412 839997 - Bonds - Subtotals - Bonds - Subtotals - Bonds - Part 3 19,497,082 19,065,077 38,975 839998 - Bonds - Summary item from Part 5 for Bonds 3,975,233 3,894,508 17,773 8399999 - Bonds - Subtotals - Bonds 23,472,315 22,959,585 56,746	828807 - CA - 3	SIMON PROPERTY GROUP LP.	12/18/2013	Merrill Lynch		340,765	250,000	5,894
8399997 - Bonds - Subtotals - Bonds - Part 3 19,497,082 19,065,077 38,978 8399998 - Bonds - Summary item from Part 5 for Bonds 3,975,233 3,894,508 17,773 8399999 - Bonds - Subtotals - Bonds 23,472,315 22,959,585 56,744			03/.19/.2013	Southwest Securities	XXX			
839998 - Bonds - Summary item from Part 5 for Bonds 3,975,233 3,894,508 17,773 839999 - Bonds - Subtotals - Bonds 23,472,315 22,959,585 56,744						5,779,554		
839999 - Bonds - Subtotals - Bonds 23,472,315 22,959,585 56,744								
	9999999 Totals	oubtotato bondo				23,472,315	XXX	56.748

													.,						
1	1 2				Showing all	Long-Term I	Bonds and S	tocks SOLD, I	KEDEEMED O		SPOSED OF D Book/Adjusted Ca		Year	16	17	10	10	20	21
1 1	2	3 4	5	0	'	8	9	10		Change in E	l	Trying value	1	16	17	18	19	20	21
CUSIP Identi-		F o r e i g Disposal		Number of Shares of				Prior Year Book/Adjusted Carrying	Unrealized Valuation Increase/	12 Current Year (Amortization)/	13 Current Year's Other-Than- Temporary Impairment	Total Change in B/A. C.V.	Total Foreign Exchange Change in	Book/ Adjusted Carrying Value at	(Loss) on	(Loss) on	Total Gain (Loss) on	Bond Interest/Stock Dividends Received	Stated Contractual Maturity
fication	Description	n Date	Name of Purchaser	Stock	Consideration	Par Value	Actual Cost	Value	(Decrease)	Accretion	Recognized	(11+12-13)	B/A. C.V.	Disposal Date	Disposal	Disposal	Disposal	During Year	Date
Bonds - U.S. 83162C-PD-9	ABS - SBAP 2004-20K 1	.11/01/201	3 Direct	1	95,406	95.406	105.655	105,919		(10.512)	1	(10.512)	1	95,406		1 0	0	3,257	11/01/2024.
83162C-RA-3	ABS - SBAP 2007-20E 1	11/01/201	3. Direct		35,101	35,101	40,350	40,719		(5,618)		(5,618)					0	1,441	05/01/2027.
83162C-RN-5	ABS - SBAP 2008-20A 1 ABS - SBAP 2008-20C 1	07/01/201		-	49,700	49,700	55,969	56,104		(6,403)		(6,403)	ļ	49,700		ļ0	0	1,971	01/01/2028.
83162C-RR-6 83162C-UV-3	ABS - SBAP 2008-200 1	09/04/201			50,873	50,873	57,983	58,123		(7,250)		(7,250)		50,873 16,770			0	2,220	03/01/2028.
83162C-VB-6	ABS - SBAP 2012-201 1	10/01/201			8,515	8,515	8,515	8,515				1 0		8,515			0	130	10/01/2032.
83162C-VG-5	ABS - SBAP 2013-20A 1	07/02/201	3 Direct		6,124	6,124	6,124					0		6,124			0	60	01/01/2033.
	ABS - SBAP 2013-20E 1				7,900	7,900	7,900					ļ0				ļ	0		05/01/2033.
912828-BW-9	TSY INFL IX N/B	12/02/201		-		18 , 143		654,090	(7,202)	(2,778)		(9,980)				8,167	8,167	210	06/01/2033.
912828-CP-3	TSY INFL IX N/B.	09/30/201	3 VARIOUS		312,105	303,125	319,238	316,364	(3,521)	(6,653)		(10, 174)		306,191		5,915	5,915	6,721	07/15/2014.
912828-DH-0	TSY INFL IX N/B	06/01/201		.	125,863	120,678	127,733	126,979	(1,405)	(1,449)	ļ	(2,854)	ļ	124,125		1,738	1,738	1,725	01/15/2015.
912828-GD-6	TSY INFL IX N/B	03/22/201	3. Goldman SachsBARCLAYS CAPITAL INC FIXED		113,123	96,997	111,347	110,467	(2,127)	(730)		(2,856)		107,611	····	5,512	5,512	1,594	01/15/2017.
912828-HN-3	TSY INFL IX N/B	02/28/201	3 INC		228,094	195,083	228,143	228,125		(1,013)		(1,013)		227 , 113		982	982	1,988	01/15/2018.
912828 - JE - 1	TSY INFL IX N/B	03/27/201	3 VAR10US		103,709		101,741	101,390	(1,042)	(307)		(1,349)		100,040		3,669	3,669	733	07/15/2018.
912828-JX-9	TSY INFL IX N/B	11/29/201			241,025	212,460	244,809	244,115	(4,583)	(4,795)		(9,378)		234,737		6,288	6,288	5,894	
912828-KM-1	TSY INFL IX N/BTSY INFL IX N/B.	07/31/201				397,005	408,321 227,720	407,816 226,525	(3,861)	(3,773)		(7,635)		400 , 182 223 ,888		5,034 .7,281	5,034	3,037	
912828-NM-8	TSY INFL IX N/B.	03/27/201			221,053	184,716	214,287	214,103	(2,202)	(890)		(3,065)		211,038		10,016	10,016	1,617	
			Royal Bank of Scotland						,	' '									
912828-NT-3 912828-PB-0	US TREASURY N/B	01/10/201	3. VARIOUS		315,204 1,419,467	290,000 1,418,000	322,819	321,213 1,420,788		(106) (1,943)		(106) (1,943)		321,106 1,418,845		(5,902)	(5,902) 622	3,082 5,392	08/15/2020.
912828-PP-9	TSY INFL IX N/B.	07/22/201	BARCLAYS CAPITAL INC FIXED 3. INC	<u> </u>	149,612	137,299	155,584	155,684	(1,597)	(1,333)		(2,930)		152,755		(3,143)	(3 , 143)	1,571	01/15/2021.
912828-QD-5	TSY INFL IX N/B.	12/30/201			298,948	290,991	299,996	300,947	(3,374)	(3,868)		(7,243)		293,705		5,244	5,244	439	04/15/2016.
912828-QV-5	TSY INFL IX N/B	12/30/201	3 INC		243,612	239,385	249,536	252,946	(5, 161)	(1,852)		(7,013)		245,933		(2,321)	(2,321)	2,172	07/15/2021
912828-RF-9	US TREASURY N/B.	12/04/201			867,952	855,000	869,515	867,550		(1,934)		(1,934)		865,616		2,336	2,336	7,684	08/31/2016.
912828-RZ-5 912828-SQ-4	US TREASURY N/B	12/30/201			1,245,818	1,245,000	1,244,104	1,244,203	(513)		ļ		ļ	1,244,465		1,353	1,353	3,495	01/15/2015.
	US TREASURY N/B	10/28/201			1.781.377	1.835.000	1.869.302	1.868.757	(010)	(1,818)		1(1, 170)		1.866.939		(85,562)	(85,562)	70	
912828-SY-7	US TREASURY N/B	10/03/201	3 VARIOUS		835,431	837,000	835,237	835,343		129		129		835,472		(40)	(40)	2,283	05/31/2017.
	US TREASURY N/B.	12/18/201			676,009	687,000	673,906			888		888		674,794		1,214	1,214	2,039	12/31/2017.
912828-VM-9 912828-VQ-0	TSY INFL IX N/B	08/30/201					89,848			(/)		1(7)				(2,868)	(2,868)	46 575	07/15/2023.
	Bonds - U.S. Governments		D. JEFFERTES & COMPANT, INC.		11.182.615	10.971.517	11.331.988	10,250,895	(38,792)	(64,786)	0	(103,578)	0	11,215,436	0	(32,821)	(32,821)		
Bonds - U.S.	Special Revenue and Special Assessme	ent and all Non-	Guaranteed Obligations of Age	ncies and Author	ities of Governme	nts and Their P	olitical Subdiv		(***, **)	(-,,		(,,		, ., .,		(- /- /	(- ,- ,	. ,	
313372-RK-2	FEDERAL HOME LOAN BANK	03/01/201	3. Not Provided		200,000	200,000	201,080	200,139		(96)		(96)		200,042		(42)	(42)	856	03/27/2013.
3136A1-WT-8 3136AD-ZT-9	CMO/RMBS - FNR 2011-106 LE CMBS - FNA 2013-M5 ASQ2	12/26/201		·		82,979 19,755	84,872 19.755	84,836		(1,857)	ļ	(1,857)	ļ	82,979 19,755	····	ļ	0	1,005	02/25/2036.
3137A9-QP-4	CMO/RMBS - FHR 3842 PH	12/16/201		1	105,518	105,518	112,475	112,598		(7,080)		(7,080)		105,518		0	0	56 1,953	04/15/2041
3137AJ-YX-6	CMO/RMBS - FHR 3977 AD	12/16/201	3 Direct		23,488	23,488	24,345			(857)		(857)		23,488		0	0	181	09/15/2029.
3138EH-Y6-3	RMBS - FN AL1632	12/26/201			37,591	37,591	39,858	39,797		(2,206)	ļ	(2,206)	ļ	37,591	ļ	. 0	<u>0</u>	424	07/01/2038.
3138NJ-AB-4 31394U-CZ-3	RMBS - FN FN0001	12/26/201		·	10,530 119,224	10,530	11,530	11,468		(938)	····	(938)	ļ		····	· 0	0	218	12/01/2020.
31396H-VX-4	CMO/RMBS - FHR 3117 PL	12/26/201		1	105,456	105.456	110,729			(4,895)		(4,895)		105,456		1	0	2,468	
31407V-FQ-3	RMBS - FN 841775	12/26/201	3. Direct		97 , 192	97,192	103,752	103,579		(6,388)		(6,388)					0	929	09/01/2035.
	RMBS - FN 995269	12/26/201			28,728	28,728	30,496	30,449		(1,721)		(1,721)					······ŏ	330	07/01/2035.
31418M-EX-6 491189-FC-5	RMBS - FN AD0149 KY ASSET FND NTS-	12/27/201		+		7,560 55,518				(1,006) (111)	·	(1,006)	ļ	7,560 57,918	l	(2,400)	(2,400)	227	06/01/2018.
	Bonds - U.S. Special Revenue and Spec Agencies and Authorities of Gover	cial Assessment	and all Non-Guaranteed Obliga	tions of	893.537	893.538	931.822	885.187	^	(33,308)	^	(33,308)	^	895.980	0		(2,442)	13,114	
	strial and Miscellaneous (Unaffiliate	ed)			,	,			0		<u> </u>	(255)	<u> </u>	,	I				
00206R-AY-8 05575B-AC-3	AT&T INCABS - BMWLT 2012-1 A3	12/20/201		-	417,930 149,073	400,000 149,073	416,572 149,859	414,251 149,678		(655) (605)	ļ	(655)	ļ	413,596 149,073	<u> </u>	4,334	4,334	5,321 1,043	
07383F-F7-8	CMBS/CMO - BSCMS 2004-PWR4 A3	12/20/201		1	103,552	149,073	108,811	149,070		(605)		(5,259)		103,552	l	1	0	3.554	02/20/2015.
07388Y-AB-8	CMBS/CMO - BSCMS 2007-PW16 A2	12/16/201	3 VARIOUS		118,193	118,193	122,455	124,225		(6,031)		(6,031)		118,193			0	4,117	06/11/2040.
097023-AZ-8	BOEING CO.	02/01/201		· 	294,233	250,000	281,318	274,850		(302)	ļ	(302)	ļ	274,548		19,685	19,685	5,789	02/15/2020.
12623M-AB-9 14912L-4F-5	ABS - CNH 2012-A A2 CATERPILLAR FINANCIAL SE	07/15/201				442,866 250,000	442,866	442,866 265,797		(2,147)	·····	(2,147)	····		·····	477	0 477	497 8.039	07/15/2015.
14986D-AE-0	CMBS - CD 2006-CD3 A4	12/17/201			183,046	183,046	190,933	188,368		(5,322)		(5,322)		183,046			0	7,021	10/15/2048
	CMBS/CMO - CGCMT 2005-C3 A2		3 Direct		77,291	77 , 291	77 ,484	77 , 193		98		98					0	1,505	05/15/2043
124422E-RR-2	JOHN DEERE CAPITAL CORP	I 10/04/201:	3. RBC CAPITAL MARKETS	1	301.536	300.000	306.036	305.535		(641)	I	(641)	I	304.894	ı	(3.358)	(3.358)	6,600	04/17/2019

SCHEDULE D - PART 4

Showing all Long-Term Bonds and Stocks SOLD, REDEEMED or Otherwise DISPOSED OF During Current Year

					Showing all	Long-Term	Bonds and St	tocks SOLD , F	REDEEMED 0	r Otherwise DI	SPOSED OF I	During Current	Year						
1	2	3 4	5	6	7	8	9	10		Change in E	Book/Adjusted Ca	arrying Value		16	17	18	19	20	21
	l .	_																	
		-							11	12	13	14	15						
		°									Current Year's			Book/				Bond	
	l I,	ė l						Prior Year	Unrealized		Other-Than-		Total Foreign	Adjusted	Foreign			Interest/Stock	Stated
CUSIP		ĭ l		Number of				Book/Adjusted	Valuation	Current Year		Total Change in		Carrying Value		Realized Gain	Total Gain	Dividends	Contractual
Identi-		g Disposal		Shares of				Carrying	Increase/	(Amortization)/	Impairment	B/A. C.V.	Change in	at	(Loss) on	(Loss) on	(Loss) on	Received	Maturity
fication	Description	n Date	Name of Purchaser	Stock	Consideration	Par Value	Actual Cost	Value	(Decrease)	Accretion	Recognized	(11+12-13)	B/A. C.V.	Disposal Date	Disposal	Disposal	Disposal	During Year	Date
			CITIGROUP GLOBAL MARKETS																
36962G-3U-6	GENERAL ELEC CAP CORP	04/05/2013	INCMILLENNIUM ADVISORS, LLC		308,099 98,677	260,000 86,000	296,020 91,446	292,614 89,836		(1,114) (594)		(1,114)		291,500 89,242				5,316	05/01/2018
44890B-AC-0	ABS - HART 2011-A A3	12/18/2013	Direct		214.075	214,075	215,262	214 .440		(365)		(365)		214,075		9,433	9,433	1 257	04/15/2015
44890J-AB-5	ABS - HART 2013-A A2	12/16/2013	Direct		101,660	101,660	101.654			7		7		101,660		0		l 305	12/15/2015
	ABS - HART 2010-B A3	12/16/2013	Direct		117,478	117 ,478	117 , 184	117 ,410		68		68		117 ,478			0	562	04/15/2015
4000511 14 0	IDMODOANI OLIAGE 8 00		BARCLAYS CAPITAL INC FIXED		005 505	050.000	057.040	050 400		(00)		(00)		050 000		0 100		4 .70	07/05/00/0
400Z0H-JA-9	JPMORGAN CHASE & CO	01/11/2013	INC	ļ	265,535 254,330	250,000 250,000	257,310 257,168	256,138 252,011		(69) (1,109)		(69)				9,466	9,466	0 245	07/05/2016
842400-FR-0	SOUTHERN CAL EDISON.	10/17/2013	Redemption		252,942	250,000	277 , 325	259,609		(7, 337)		(7,337)		252,272		670		15 660	01/15/2014
84474Y-AA-4	SW AIRLINES 07-1 TRUST	08/01/2013	Direct		15.108	15 . 108	17,277	17, 191		(2,082)		(2,082)		15, 108		1	0	696	08/01/2022
89233P-6J-0	TOYOTA MOTOR CREDIT CORP	.R12/04/2013	DirectMITSUBISHI UFJ SECURITIES		254,784	253,000	252.866	252,886		41		41		252.927		1,856	1,856	3,056	07/17/2015
91159H-GW-4		06/14/2013	Maturity		250,000	250,000		249,948		52		52		250,000				2,500	06/14/2013
	WELLS FARGO & COMPANY	01/31/2013.	Maturity		250,000	250,000		250,030	^	(30)		(30)		250,000		00 500			01/31/2013
	Bonds - Industrial and Miscellaneous (U Bonds - Subtotals - Bonds - Part 4	Unaffiliated)			4,734,535 16,810,687	4,571,342 16,436,397	4,750,009 17,013,818	4,494,875 15,630,957	(38,792)	(33,398)	0	(33,398)	0	4,671,941 16,783,357	0	62,593 27,330	62,593 27,330	98,480 203,639	XXX
	Bonds - Subtotars - Bonds - Fart 4 Bonds - Summary item from Part 5 for Bo	onde			3.955.185	3.894.508	3.975.233	10,030,937	(30,792)	(18,241)	0	(18,241)	0	-,,	0	(1.807)	(1.807)	43.724	XXX
	Bonds - Subtotals - Bonds	unus			20.765.872	20,330,905	20,989,051	15.630.957	(38,792)	(149,733)	0	(188,524)	0	20,740,349	0	25.523	25.523	247.364	XXX
0000000	Solido Captotaro Bolido				20,700,072	20,000,000	20,000,001	10,000,001	(00,702)	(140,100)	·	(100,024)	•	20,140,040	·	20,020	20,020	247,004	7000
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					00 805 (45.000.4		///								0.00	
9999999	rotals representation of the state of the st				20,765,872	XXX	20,989,051	15,630,957	(38,792)	(149,733)	1 0	(188,524)	1 0	20,740,349	1 0	25,523	25,523	247,364	XXX

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ANNUAL STATEMENT FOR THE YEAR 2013 OF THE Neighborhood Health Plan of Rhode Island

						Showing a	all Long-Term B	onds and Sto	cks ACQUIRED	During Year and	d Fully DISPO	SED OF During C								
1	2	3	4	5	6	7	8	9	10	11		Change in	Book/Adjusted C	arrying Value		17	18	19	20	21
İ		į į									12	13	14	15	16	1	İ			İ
İ		F												i			i			İ
		0																		
		l r					Par Value			Book/			Current Year's							Paid for
		l e					(Bonds) or			Adjusted	Unrealized		Other Than	Total Change	Total Foreign	Foreign			Interest and	Accrued
		l i					Number of			Carrying	Valuation	Current Year's		In	Exchange	Exchange	Realized Gain	Total	Dividends	Interest
CUSIP		a	Date		Disposal		Shares			Value at	Increase/	(Amortization)/	Impairment	B./A. C.V.	Change in	Gain (Loss) on		Gain (Loss)	Received	and
Identification	Description	ľ'n	Acquired	Name of Vendor	Date	Name of Purchaser		Actual Cost	Consideration	Disposal	(Decrease)	Accretion	Recognized	(12 + 13 - 14)		Disposal	Disposal	on Disposal	During Year	
	Governments						(0100.10)				(= =====)		,	1 (
	US TREASURY N/B.		06/19/2013	VARIOUS	07/11/2013	VARIOUS	1 784 000	1,779,617	1,768,087	1,779,620		1 2		2			(11,533)	(11,533)	5,880	3,611
	Bonds - U.S. Governments		907 107 20 10		1			1,779,617	1.768.087	1.779.620	0	2	0	2	0	0	(11,533)		5.880	
	Other Governments						1,101,000	1,110,011	1,100,001	1,110,020	· ·		·		·		(11,000)	(11,000)	0,000	0,011
Donas - All C	ther Governments					CITIGROUP GLOBAL MARKETS			1			1	1	I	1	1	1			I
418097 - AC - 5	HASHEMITE KINGDOM OF JOR	R.	10/28/2013	CHASE SECURITIES	12/10/2013	INC	270,000	270,000	267 , 184	270.000			<u> </u>	0	L	1	(2,816)	(2,816)	807	
1099999 -	Bonds - All Other Governme	nts					270.000	270,000	267,184	270,000	n	n	0	0	0	0	(2,816)		807	
	Special Revenue and Speci		sment and all	Non-Guaranteed Obligation	ns of Agencie	es and Authorities of Gove				2.0,000							(=, = . =)	(=,0.0)		
231100 3.0.	Special Nevertae and Open	/ 10003		BARCLAYS CAPITAL INC FIXED			onto and 11	.c i ontical c								1				
163103-PX-6	CHELAN PUD #1-TXB-C		05/28/2013	INC	07/10/2013	Redemption	255,000	267,230	267,025	255,000		(12,230)		(12,230)		1	12,025	12,025	6,554	5,388
313381-Y7-2	FEDERAL HOME LOAN BANK		02/01/2013	Adjustment	11/06/2013	Not Provided	250,000	249,700	250,000	249,782				82			218	218	750	
313382-A4-5	FEDERAL HOME LOAN BANK		02/04/2013		11/28/2013	Not Provided	250,000	250,000	250,000	250,000			ļ	0					750	
				BAIRD (ROBERT W.) & CO.																
	CMO/RMBS - FHR 3954 PL		04/03/2013		10/23/2013		189,659	201,571	194,544	200,455		(1,116)		(1,116)			(5,911)	(5,911)	3,454	129
3199999 -	Bonds - U.S. Special Reven				eed Obligation	ns of Agencies and	044.050	000 504	004 500	055 000		(40.005)		(40.005)			0.000	0.000	44 500	5 540
Authorities of Governments and Their Political Subdivisions Bonds - Industrial and Miscellaneous (Unaffiliated)				944,659	968,501	961,568	955,236	0	(13,265)	0	(13,265)	0	0	6,332	6,332	11,508	5,518			
						The second secon														
097014-AN-4	BOEING CAPITAL CORP		05/03/2013		08/27/2013	Market Axess	160,000	167,014	164,946	166,339		(675)		(675)			(1,393)	(1,393)	1,842	784
268648-AQ-5	EMC CODD		06/03/2013	CITIGROUP GLOBAL MARKETS	11/20/2013	CITIGROUP GLOBAL MARKETS	173.000	172,585	171.045	172.610		25		25			(1,565)	(1,565)	2,152	
	FIRST UNION NATL BANK			Southwest Securities		Wells Fargo.	355.000	405.818	414 .505	405.338		(481)		(481)			9.167		16 637	7 /35
396789-FS-4	CMBS - GCCFC 2003-C2 A4.		01/11/2013	RBC CAPITAL MARKETS	09/10/2013	Direct	207,849	211,698	207.849	207,849		(3,848)		(3,848)			, 107	0	16,637 4,898	7 ,435
	Bonds - Industrial and Misce				4		895.849	957,114	958.345	952,135	0	(4.979)	0	(4.979)	0	0	6,209	6,209	25,529	8,644
	Bonds - Subtotals - Bonds	a.roodo	(Griaimiatou)				3.894.508	3.975.233	3,955,185	3.956.992	0	(18,241)	Ů	(18,241)	Ů	0	(1,807)	(1,807)	43.724	
0000000	Donas Cabiotais Bonas	-				1	0,004,000	0,070,200	0,000,100	0,000,002	•	(10,241)	·	(10,241)	·	•	(1,001)	(1,001)	10,121	17,770
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9999999 T	otals							3,975,233	3,955,185	3,956,992	0	(18,241)	0	(18,241)	0	0	(1,807)	(1,807)	43,724	17,773

SCHEDULE D - PART 6 - SECTION 1

	V	aluation	of Shares of S	Subsidiary, Co	ntrolled of Alli	liated Companies			
1	2	3	4	5	6	7	8	Stock of Such Con	npany Owned
	-		•			·	Ů	by Insurer on Sta	
								9	10
					.			9	10
					Do Insurer's				
					Assets				
				NAIC	Include				
			NAIC	Valuation	Intangible				
			Company	Method	Assets				
			Code or	(See SVO	Connected				
			Alien	Purposes	with Holding				
	Description			and		Total Amount of			
OLIGID	Description		Insurer		of Such		Deal (Adlanta)		0/ .6
CUSIP	Name of Subsidiary, Controlled or		Identification		Company's	Such Intangible	Book / Adjusted	l	% of
Identification	Affiliated Company	Foreign	Number	Manual)	Stock?	Assets	Carrying Value	Number of Shares	Outstanding
									
					l				
									
			 						
			 						
			 						
					ļ				
<u> </u>			<u></u>	<u></u>	<u></u>			<u> </u>	
1999999 To	tals - Preferred and Common Stocks					0	0	XXX	XXX

Amount of insurer's capital and surplus from the prior period's statutory statement reduced by any admitted EDP, goodwill and net deferred tax assets included therein:

 Total amount of intangible assets nonadmitted.

SCHEDULE D - PART 6 - SECTION 2

	0011202	LD-PART 0-3LC				
1	2	3	4 Total Amount of Intangible Assets	Stock in Lower-Tier Company Owned Indirectly by Insurer on Statement Date		
			Included in Amount	5	6	
CUSIP		Name of Company Listed in Section 1 Which	Shown in Column 7,		% of	
Identification	Name of Lower-Tier Company	Controls Lower-Tier Company	Section 1	Number of Shares	Outstanding	
					<u></u>	
0399999 Totals - Pr	referred and Common			XXX	XXX	

							Sh	owing all SH 0	ORT-TERM II	NVESTMENTS	Owned Decem	ber 31 of Curre	ent Year							
1	2	Codes		5	6	7	8	Ch	ange In Book/A	djusted Carrying	Value	13	14			Inte	erest			21
									10											i
		3	4					9		11	12			15	16	17	18	19	20	i
																				1
																				1
										0				A A D						1
									0	Current	T-4-1			Amount Due						1
							Book/	Unrealized	Current Year's	Year's Other-Than-	Total Foreign			And Accrued Dec. 31 of						1
CUSIP							Adjusted	Valuation	(Amortization)	Temporary	Exchange			Current Year	Non-Admitted					Paid for
Identi-			roi	Date		Maturity	Carrying	Increase/	(Alliortization)	Impairment	Change in			On Bond Not	Due and		Effective		Amount Received	
fication	Description	Code	an	Acquired	Name of Vendor	Date	Value	(Decrease)	Accretion	Recognized	B./A.C.V.	Par Value	Actual Cost	In Default	Accrued	Rate of	Rate of	When Paid	During Year	Interest
	Governments Issuer Obligations	0000	19	7.0quou	Traine or verider	Date	74.40	(200.000)	71001011011	. tooogzou	B.,, 1.0. v.	. a. value	7.00.000	Bolaan	71001404	. tate or	11010 01	Timom and	Daning roas	
	US TREASURY N/B			.04/15/2013	HSBC SECURITIES INC.	04/15/2014	1,574,888		(12,166)			1,570,000	1,587,054	4,205		1.250		A0	9,813	54
					JPMORGAN_CHASE_BANK/RBS				·											1
	US TREASURY N/B.				SECURITIES.	05/15/2014	1,888,151		(6,941)			1,882,000	1,895,092	2,443		1.000		MN	9,410	3,989
	US TREASURY N/B. US TREASURY N/B.			.12/17/2013	JEFFERIES & COMPANY, INC HSBC SECURITIES INC.	06/15/2014	1,213,620 1,388,739		(307) (241)			1,210,000 1,388,000	1,213,927 1,388,981			0.750 0.250		JD. MS.		
	US TREASURY N/B				HSBC SECURITIES INC	10/15/2014			(441)			799,000	801,664			0.230		AO		233
	O MENORI WID.		1		CITIGROUP GLOBAL MARKETS				(441)							1 1				i
	US TREASURY N/B			.01/31/2013	INC	01/31/2014	1,707,115		(1,291)			1,707,000	1,708,406	1,786		0.250		JJ	2,134	12
	US TREASURY N/B			.03/15/2013	VARIOUS	02/28/2014	1,340,179		(905)			1,340,000	1,341,084	1,138		0.250		FA	1,675	93
	US TREASURY N/B			.09/16/2013	MORGAN STANLEY DEAN WITTER	03/31/2014	1,941,938		(1,116)			1,941,000	1,943,054	1,240		0.250		MS	2,426	2,254
	US TREASURY N/B			.04/30/2013	HSBC SECURITIES INC.	04/30/2014	1,837,641		(1,303)			1,837,000	1,838,944			0.250		A0	2,296	12
	US TREASURY N/B. US TREASURY N/B				JP Morgan Chase HSBC SECURITIES INC	05/31/2014	1,549,683		(1,015)			1,847,000 1,549,000	1,848,738 1,550,336	406		0.250			2,309 1.936	38 105
	US TREASURY N/B				NOMURA SECURITIES INC	00/30/2014	1 ,349 ,003		(003)				1,000,000			0.200		JD	,930	1
	US TREASURY N/B			08/30/2013	INCOME	07/31/2014	1.875.957		24			1.876.000	1.875.933	981		0.125		L JJ		217
	US TREASURY N/B.				HSBC SECURITIES INC.	08/31/2014	1,741,213		(152)			1,740,000	1.741.365	1.478		0.250		FA		1,118
	US TREASURY N/B.			.11/15/2013	JEFFERIES & COMPANY, INC	09/30/2014	1,717,620		(263)			1,716,000	1,717,883	1,096		0.250				578
0199999 - E	Bonds - U.S. Governments - Issue	r Obligatio	ons			•	22,425,689	0	(26,771)	0	0	22,402,000	22,452,460	17,887	0	XXX	XXX	XXX	31,999	9,016
0599999 - E	Bonds - Subtotals - U.S. Governm	ents					22,425,689	0	(26,771)	0	0	22,402,000	22,452,460	17,887	0	XXX	XXX	XXX	31,999	9,016
Bonds - U.S.	Special Revenue and Special Ass	essment Ob	ligati	ions and all	Non-Guaranteed Obligations of	Agencies and A	uthorities of Go	vernments and t	heir Political S	ubdivisions - Iss	uer Obligations									
	FREDDIE MAC			.05/29/2013	JP MORGAN CHASE EMERGING MKT	01/15/2014	238,395		(6,095)			238,000	244,490	4,939		4.500		JJ	5,355	4,016
					BARCLAYS CAPITAL INC FIXED		.==					.==	.=							
	FREDDIE MAC			.09/27/2013	INC BNP PARIBAS SECURITIES BOND	08/20/2014	477,590 502,157		(1,030)			475,000 500,000		1,728 1,031		1.000 0.750		FA		528
	FANNIE MAE			10/15/2013	MORGAN STANLEY DEAN WITTER	06/27/2014	753,438		(116)			750,000	754.928	94		1.125		JDJD	4.219	2.555
2500000 - F	Bonds - U.S. Special Revenue and	Special A							(1,430)									JU		
	Agencies and Authorities of Gov						1.971.580	0	(8.731)	0	0	1.963.000	1.980.311	7.792	0	XXX	XXX	XXX	9,574	7.995
	Bonds - Subtotals - U.S. Special						.,,500		(2,.01)		Ů	.,,000	.,,	.,,,,,					5,011	1 . , , , , , , ,
	Obligations of Agencies and Aut						1,971,580	0	(8,731)	0	0	1,963,000	1,980,311	7,792	0	XXX	XXX	XXX	9,574	7,995
	otal Bonds – Subtotals – Issuer	Obligation	ns				24,397,269	0	(35,502)	0	0	24,365,000	24,432,771	25,679	0	XXX	XXX	XXX	41,573	17,010
	otal Bonds - Subtotals - Bonds						24,397,269	0	(35,502)	0	0	24,365,000	24,432,771	25,679	0	XXX	XXX	XXX	41,573	17,010
	Market Mutual Funds																			
	GOLDMAN SACH FIN SQ TR IN-IN			_12/31/2013	Direct		20,745,024					20,745,024	20,745,024	11				N/A	14	
	Exempt Money Market Mutual Fund	S					20,745,024	0	0	0	0	XXX	20,745,024	11	0	XXX	XXX	XXX	14	0
Class One Money Market Mutual Funds																				
	DREYFUS INSTL PRE MMK-MMK-PR	L		_12/02/2013	Direct		546,119					546,119	546,119	29				N/A	31	·
8999999 -	Class One Money Market Mutual F	unds			,	1	546,119	0	0	0	0	XXX	546,119	29	0	XXX	XXX	XXX	31	0
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9199999 T	otal Short-Term Investments						45,688,411	0	(35,502)	0	0	XXX	45,723,914	25,718	0	XXX	XXX	XXX	41,617	17,010

Schedule DB - Part A - Section 1

NONE

Schedule DB - Part A - Section 2

NONE

Schedule DB - Part B - Section 1

NONE

Schedule DB - Part B - Section 2

NONE

Schedule DB - Part D - Section 1

NONE

Schedule DB - Part D - Section 2

NONE

Schedule DL - Part 1

NONE

Schedule DL - Part 2

NONE

SCHEDULE E - PART 1 - CASH

Depository OPEN DEPOSITORIES Bank of America - Cash Operating. Providence, RI. Bank of America - Accounts Payable. Providence, RI. Bank of America - Claims. Providence, RI. Fidelity - 401K Recapture. Covington, KY.	2 Code	Rate of	Amount of Interest Received	Accrued	6	7
OPEN DEPOSITORIES Bank of America - Cash Operating	Code		Received	Accrued		
OPEN DEPOSITORIES Bank of America - Cash Operating	J	Interest	During Year	December 31 of Current Year	Balance	*
Bank of America - Cash Operating		interest	i cai	Current real	Dalarice	Ь
Bank of America - Accounts Payable. Providence, RI. Bank of America - Claims. Providence, RI. Fidelity - 401K Recapture. Covington, KY.		1	1		32,702,850	XXX
Fidelity - 401K RecaptureCovington, KYCovington					(922,952)	XXX
Fidelity - 401K RecaptureCovington, KYCovington	····				(803)	XXX
Tractity 40 ik kecaptare					142	XXX
0400000 Deposits in						7000
0199998 Deposits in depositories that do not exceed the allowable limit in any one depository (See Instructions)-open depositories	VVV	VVV				VVV
allowable limit in any one depository (See instructions)-open depositories	XXX	XXX				XXX
0199999 Totals-Open Depositories	XXX	XXX	0	0	31,779,237	XXX
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0000000 T-1-1-0 t D "					04 770 007	XXX
0399999 Total Cash on Deposit	XXX	XXX	0	0	31,779,237	XXX
0499999 Cash in Company's Office	XXX	XXX	XXX	XXX	7,750	XXX
0599999 Total Cash	XXX	XXX	0	0	31,786,987	XXX

TOTALS OF DEPOSIT	ORY BALANCES ON THE L	AST DAY OF EACH MO	NTH DURING THE CU	RRENT YEAR

1. January	15,309,113	4. April	26,872,601	7. July	13,573,265	10. October	9,218,572
2. February	17,456,639	5. May	28,500,687	8. August	40,997,305	11. November	41,334,616
3. March	36,534,581	6. June	4,068,931	September	14,246,588	12. December	31,779,237

Schedule E - Part 2

Schedule E - Part 3

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